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ABSTRACT

This document examines the role of the federal government in achieving the six National Education Goals. Six chapters identify and analyze federal programs aligned with the purposes of each goal. Following the preface and a list of the National Education Goals, Anne Crowley's introductory chapter presents a historical overview of the events leading up to the adoption of the goals in February 1990. The chapters include the following: (1) "Goal 1, Part A: Head Start" (Catherine A. Rosemary) and "Goal 1, Part B: Supplemental Feeding Program for Women, Infants, and Children" (Timothy F. Frazier); (2) "Goal 2: Elementary and Secondary Education Act, Chapter 1" (John Sipple); (3) "Goal 3: Elementary and Secondary Education Act, Chapter 2" (Lester Zook); (4) "Goal 4: Dwight D. Eisenhower Mathematics and Science Education Act" (Michael Vitez); (5) "Goal 5: National Literacy Act of 1991" (Paul Purves); and (6) "Goal 6: Drug Free Schools and Communities Program" (Aruna Viwadoss). References accompany each chapter. (LMI)

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ED 366 060

MAJOR FEDERAL PROGRAMS SUPPORTING
THE NATIONAL EDUCATION GOALS
AN ANALYSIS

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Preface

On February 25, 1990, America's 50-State Governors and the President adapted the historic National Education Goals. This report deals with an important but overlooked area related to achieving the National Education Goals: The role of the federal government.

In the chapters that follow, federal programs aligned with the purposes of each national education goal are identified and analyzed. The report begins with a history and background paper on the events leading up to the adaption of the National Education Goals and a listing of the National Education Goals and related objectives follow this Preface.

This report is one of the first of its kind, related to a topic that is bound to be the subject of renewed scrutiny and debate during the latter 1990s and beyond. It is the effort of graduate students in the Department of Education Leadership and Policy Studies at the University of Virginia--the site of the historic education summit, which preceded the adaptation of the National Education Goals. This project was a requirement for an introductory class I taught on "Education Policy Analysis"; it is the first attempt of the students in class to collaboratively identify, analyze, and produce a report on salient but emerging issues in education policy.

It is hoped that this effort may spur thinking about the role of the federal government in the achievement of the National Education Goals and improving America's schools for all children--a neglected aspect of the policy debate over the past twelve years.

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July 19, 1993

NATIONAL GOALS FOR EDUCATION

Readiness

Goal 1: **BY THE YEAR 2000, ALL CHILDREN IN AMERICA WILL START SCHOOL READY TO LEARN.**

Objectives:

- All disadvantaged and disabled children will have access to high quality and developmentally appropriate preschool programs that help prepare children for school.
- Every parent in American will be a child's first teacher and devote time each day helping his or her preschool child learn; parents will have access to the training and support they need.
- Children will receive the nutrition and health care needed to arrive at school with healthy minds and bodies, and the number of low birthweight babies will be significantly reduced through enhanced prenatal health systems.

School Completion

Goal 2: **BY THE YEAR 2000, THE HIGH SCHOOL GRADUATION RATE WILL INCREASE TO AT LEAST 90 PERCENT.**

Objectives:

- The nation must dramatically reduce its dropout rate and 75 percent of those students who do drop out will successfully complete a high school degree or its equivalent.
- The gap in high school graduation rates between American students from minority backgrounds and their non-minority counterparts will be eliminated.

Student Achievement and Citizenship

Goal 3: **BY THE YEAR 2000, AMERICAN STUDENTS WILL LEAVE GRADES FOUR, EIGHT, AND TWELVE HAVING DEMONSTRATED COMPETENCY OVER CHALLENGING SUBJECT MATTER INCLUDING ENGLISH, MATHEMATICS, SCIENCE, HISTORY, AND GEOGRAPHY, AND EVERY SCHOOL IN AMERICA WILL ENSURE THAT ALL STUDENTS LEARN TO USE THEIR MINDS WELL, SO THEY MAY BE PREPARED FOR RESPONSIBLE CITIZENSHIP, FURTHER LEARNING, AND PRODUCTIVE EMPLOYMENT IN OUR MODERN ECONOMY.**

Objectives:

- The academic performance of elementary and secondary students will increase significantly in every quartile, and the distribution of minority students in each level will more closely reflect the student population as a whole.
- The percentage of students who demonstrate the ability to reason, solve problems, apply knowledge, and write and communicate effectively will increase substantially.
- All students will be involved in activities that promote and demonstrate good citizenship, community service, and personal responsibility.
- The percentage of students who are competent in more than one language will substantially increase.
- All students will be knowledgeable about the diverse cultural heritage of this nation and about the world community.

Mathematics and Science

Goal 4: **BY THE YEAR 2000, U.S. STUDENTS WILL BE FIRST IN THE WORLD IN MATHEMATICS AND SCIENCE ACHIEVEMENT.**

Objectives:

- Math and science education will be strengthened throughout the system, especially in the early grades.
- The number of teachers with a substantive background in mathematics and science will increase by 50 percent.
- The number of U.S. undergraduate and graduate students, especially women and minorities, who complete degrees in mathematics, science, and engineering will increase significantly.

Adult Literacy and Lifelong Learning

Goal 5: **BY THE YEAR 2000, EVERY ADULT AMERICAN WILL BE LITERATE AND WILL POSSESS THE KNOWLEDGE AND SKILLS NECESSARY TO COMPETE IN A GLOBAL ECONOMY AND EXERCISE THE RIGHTS AND RESPONSIBILITIES OF CITIZENSHIP.**

Objectives:

- Every major American business will be involved in strengthening the connection between education and work.
- All workers will have the opportunity to acquire the knowledge and skills, from basic to highly technical, needed to adapt to emerging new technologies, work methods, and markets through public and private educational, vocational, technical, workplace, or other programs.
- The number of quality programs, including those at libraries, that are designed to serve more effectively the needs of the growing number of part-time and mid-career students will increase substantially.
- The proportion of those qualified students, especially minorities, who enter college; who complete at least two years; and who complete their degree programs will increase substantially.
- The proportion of college graduates who demonstrate an advanced ability to think critically, communicate effectively, and solve problems will increase substantially.

Safe Disciplined, and Drug-Free Schools

Goal 6: BY THE YEAR 2000, EVERY SCHOOL IN AMERICA WILL BE FREE OF DRUGS AND VIOLENCE AND WILL OFFER A DISCIPLINED ENVIRONMENT CONDUCIVE TO LEARNING.

Objectives:

- Every school will implement a firm and fair policy on use, possession, and distribution of drugs and alcohol.
- Parents, businesses, and community organizations will work together to ensure that schools are a safe haven for all children.
- Every school district will develop a comprehensive K-12 drug and alcohol prevention education program. Drug and alcohol curriculum should be taught as an integral part of health education. In addition, community-based teams should be organized to provide students and teachers with needed support.

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INTRODUCTION--NATIONAL EDUCATIONAL GOALS

-Anne Crowley

Historically governors have been involved in education policy as the chief executive officers of their states. Education is the largest category in most state budgets. The governors' relationships to the education budget changed in the early 1980s when most states were adversely affected by the recession and the shifting of costs from the federal government to the state governments.[1] Governors became involved in school reform. Individual "education governors," Kean (NJ), Alexander (TN) and Clinton (AR) began restructuring.[2]

The National Governors' Association [NGA], founded in 1908 to provide a bipartisan forum to shape and implement national policy as well as to help solve states' problems, provided a forum for the governors to strategize about education in the 1980s.[3] At their August, 1985, meeting the governors divided into seven task forces to conduct hearings throughout the country on the issues facing public education. Through this process they realized first that as governors they were in a position to lead the education reform effort. Second, they were willing to "swap regulation for results." Third, they learned that change would take commitment, hard work and cooperation.[4]

The governors began to issue a yearly summary, Time for Results, beginning in 1986. These reports annually summarized progress over the next five years in the following areas:

(1) creating a more highly professional teaching force

(2) strengthening school leadership and management

(3) promoting greater parent involvement and choice in their youngster's education

(4) helping at-risk children and youth meet higher educational standards

(5) making better and more effective use of new technology in education

(6) making better use of resources invested in school facilities

(7) strengthening the mission and effectiveness of colleges and universities.[5]

New themes emerged for consideration in each yearly report in the Time For Results series. The need for critical thinking skills, professionalization of the teaching profession, and a "results" orientation were among the first findings. States began to take responsibility in these ways: setting goals, defining outcome standards, establishing sanctions for failing to meet the goals, stimulating local inventiveness, examining regulation, developing assessment tools, coordinating K-12 with higher education and maintaining broad support for education quality.[6] Later reports stressed decentralization of decision making, site-based management and changes in teacher responsibilities.[7] School finance took on new meaning as the emphasis shifted away from taxpayer equity and distribution of money to access to quality education for all, student performance and support for targeted populations.[8]

At the same time that the Time For Results series was in process, the NGA began a dialogue with President-elect George Bush, who had campaigned on a platform of becoming the "Education President."[9] The first meeting took place two weeks after the election in fall, 1988, at the NGA meeting which combined the executive session with the new Governors' Institute for Training. Governor John Sununu of New Hampshire, who was about to assume the role of White House Chief of Staff, brought President-elect Bush to the meeting. The governors put the idea of National Education Goals setting on the table at that time. A proposal to this effect was sent to the White House by the governors on Inauguration Day, 1989.[10]

The White House was slow to respond to the governors. International events took President Bush out of the country in early 1989. Momentum was lost and the National Education Goals moved off the White House's priority list, although sporadic phone conversations between staff at the NGA and the White House took place. The White House position throughout this period was that the governors should report on what they were doing around the themes of the President's Educational Excellence and Equity Act.[11]

The Business Round Table devoted its entire summer meeting agenda in June, 1989, to education. Ernest Boyer addressed that meeting stating: "What we need is a national agenda for school reform. We need a strategy that sustains state and local leadership while giving coherence to the effort."[12] President Bush challenged the business leaders at that same summer meeting to come up with education goals in ninety days. Throughout the summer CEO's visited with President Bush to voice their concerns about the quality of the work force.[13] Some have suggested that the Business Round Table and the Business Coalition for Education Reform is responsible for "any subsequent substantive federal agenda."[14]

During a brief visit by President Bush to the NGA summer meeting in July, 1989, he invited the governors to meet with him in September to discuss education. The idea of the Summit had been suggested by Ernest Boyer, former U. S. Commissioner of Education, in the fall of 1988.[15] That same year Terrel Bell also suggested a summit as a means of launching educational change.[16] This invitation was also similar to a directive by Congress in 1984 for a meeting on education. However, President Reagan never held the Education Summit for which Congress twice appropriated $500,000.[17]

In a private meeting at the July NGA Conference Andrew Card of the White House staff met with Governors Branstad, Campbell, Clinton and Carruthers. The governors told Card that the President could not gather that amount of executive talent at a summit without some action outcome. Governor Campbell insisted that there be an emphasis on reform from "cradle to grave." Following this meeting these governors surveyed the membership of the NGA. Three points of consensus were reached by the membership: the summit was needed to create a national focus; recommendations had to go beyond K-12 education to subjects such as maternal and child health, adult literacy and Head Start; and there must be talk about state/federal issues.[18]

Although the President's invitation to an Education Summit had been extended to the governors and accepted in late July, 1989, as of early September the White House and the governors had not reached agreement on the issues to be discussed at the Summit or the product that would result from it.

On September 13, 1989, only two weeks prior to the Education Summit the co-chairs of the Task Force on Education, Governors Clinton and Campbell, held a hearing to invite suggestions about the topics that should be addressed at the Summit. This hearing was held in Washington, D.C., at the Hyatt Regency Hotel with witnesses representing a broad spectrum of interest groups including: business leaders, early childhood specialists, education leaders, union officials, children's advocacy groups and others.[19] The White House staff met independently with many of these same groups as well.[20]

The overwhelming response from all of the groups was the need for National Goals. Subsequently, White House Chief of Staff, John Sununu, told Governors Clinton and Campbell later on the night of September 13 that President Bush would agree to the idea of National Goals.[21] However, the President was still not ready to establish goals at the Summit itself, preferring to do that at a later time. He also wanted the Summit to be a closed door meeting whereas the governors wanted the Summit to be a public meeting that would lead to a national education agenda mirroring the recently announced national anti-drug effort.[22]

In the end both the President and the governors won concessions from each other on the form and substance of the summit to be held at the University of Virginia in Charlottesville. The President did prevail in having a largely closed door meeting with the governors participating in the opening ceremony. The closed door sessions focused on six topics: teaching, especially the recruitment and retention of talented teachers; the learning environment, including drug-free and crime-free schools and the health and nutrition needs of "at-risk" pre-schoolers; restructuring schools and increasing choices for parents and students; life-long education, including a review of existing federal aid programs; and the roles of federal, state and local governments in meeting education needs.[23] The governors won discussion of National Goals and some deregulation of the use of federal funds for education. Both sides were in agreement on the need to reach specific targets in the illiteracy and dropout rates and of the need for improvement of test scores. Governor Campbell stated that the governors did not expect a major shift in the financial burden from the federal to the state level but that they did want the federal government to expand their support for federal pre-school and nutrition programs.[24]

On September 18, 1989, a week before the Education Summit, the governors released the third annual report Time for Results 1989. Both capital needs in excess of $125 billion over the next five years and the need for an improved curriculum as well as a better educated work force were stressed in the report. It concluded that, "while states and localities have primary responsibility for education ... it is time to set national education goals that reflect the performance the nation needs from the education system as it approaches the 21st century."[25] The Governor's report stated: "With few exceptions, states do not yet clearly define goals or learner outcomes very well."[26] The report noted that goals would serve as the basis for renewing long term commitment to education reform and would provide a basis for examining the federal role in education.[27]

On September 20, 1989, ten Congressional Democrats and two Democratic Governors met with the press to announce Democratic Congressional goals for education to be used as "benchmarks" for the Education Summit. Their goals included: annually increasing the number of children served by pre-school programs like Head Start, with all "at-risk" four year olds to be enrolled by 1995; raising basic skills achievement of all students to at least grade level by 1993 and reducing the lags for minorities; improving graduation rates, reducing dropout rates and slicing the number of illiterates; improving mathematics, science and foreign language skills to surpass those of students from other industrial nations; increasing access to college by using grants rather than loans so that all high school graduates have an opportunity for further education; and upgrading the status and qualifications of teachers.[28]

The Summit And Beyond

The Education Summit was held in Charlottesville, Virginia, on September 27 and 28, 1989, only the third in history. In the joint statement issued by President Bush and the governors at the conclusion of the Summit both parties agreed to four sets of action, which they viewed as the first step in a "long-term commitment to reorient the education system and to marshal widespread support for needed reforms."[29] These four actions include: establishing a process for setting the National Education

Goals; seeking legislative and regulatory changes that would allow greater flexibility and accountability in the use of federal resources to meet the goals; undertaking a state-by-state effort to restructure our education system; and reporting annually on the progress in achieving our goals.[30]

On the last evening of the Summit, Governor Clinton circulated a draft statement after consultation with educators, parent groups and businessmen for Thursday's concluding plenary session that would have set the first national performance standards by the following February. This draft would start a push to deregulate restrictions on most current federal aid funds, call for the federal government to end illiteracy in the District of Columbia and purge drugs from its schools, and target aid from all departments' budgets, including the Pentagon's, into a few big-city school districts with severe problems.[31] However, Bush aides succeeded in purging the preliminary draft of any mention of specific responsibilities for the federal government in the District of Columbia.

The Governor's Education Task Force was instructed to have the national performance standards "completed and announced in early 1990," probably February.[32] However, the joint statement of the Summit released September 29, 1989, did define seven broad areas which needed to be addressed if the U.S. were to remain competitive. These seven areas included:

(1) the readiness of children to start school

(2) the performance of students on international achievement tests, especially in math and science

(3) the reduction of the dropout rate and the improvement of academic performance, especially among at-risk students

(4) the functional literacy of adult Americans

(5) the level of training necessary to guarantee a competitive work force

(6) the supply of qualified teachers and up-to-date technology; and

(7) the establishment of safe, disciplined and drug-free schools.[33]

Subsequently, staffs from the NGA, the Education Task Force and the White House met several times after the Summit to draft preliminary goals. The governors had wanted the drafting of the Goals to be a highly participatory effort. However, the White House was resistant to this approach because of fear that pressure would mount to put federal money into education and that open forums on the Education Goals would diminish the effect of the President's State of the Union address in January, 1989.

On December 7, 1989, six Republican and two Democratic Governors as well as six top White House officials met to define the Goals and to decide on the measurement of the Goals. This was their first meeting since the Summit. In the day long meeting, which included public testimony, the group wrestled with differences over the measurement of the dropout rate and the meaning of readiness for school. No consensus was reached.[34]

A private meeting between Governor Clinton and Mr. Porter, the White House Domestic Policy Advisor, was held to reach agreement. Several differences existed between the governors and the White House at this point. First, the governors wanted some narrative added to the Goals about the federal role. Second, the White House strongly resisted the aspects of the School Readiness Goal which suggested that there was a federal role in pre-school education and maternal and child health care. Third, the White House did not want higher education issues included in the Goals because of questions of the federal payments. Fourth, there were substantial differences in the approaches to Goal 3. The White House wanted to separate the Goals of student achievement and graduation, whereas Governor Clinton wanted them linked. In addition, the White House version of Goal 3 reflected the importance of achievement as defined in A Nation At Risk. Governor Clinton favored an approach advocated by Theodore Sizer that called for an integration of knowledge as well as interdisciplinary approaches to teaching.[35]

At the Governors' 1990 winter meeting, February 25, 1990 Governor Clinton proposed an amendment to Goal 3. The White House was very insistent that the Goals not be changed because they had already been announced in President Bush's State of the Union message. The White House put tremendous pressure on the Republican governors to stay the course. When the process came to stalemate, it was Governor Campbell, (R-S. Carolina) Governor Clinton's co-chair, that suggested combining the wording of the two versions of Goal 3. This accommodation made Goal 3 the longest of the National Education Goals.[36]

On February 25, 1990, the NGA adopted a modified version of the Goals which President Bush had announced in his State of the Union address. The Administration accepted the governors' version of the Goals which included the addition of twenty-one specific objectives for reaching the Goals by the year 2000.[37] Further disagreement centered on the composition and independence of the National Goals Panel whose role it was to monitor progress towards the Goals.[38] The White House was resistant, but finally agreed to establish the Goals Panel in Summer, 1990.

CONGRESS AND LEGISLATION

"We need to work with Congress."[39] Despite these words in the joint statement issued by the President and the governors at the conclusion of the Summit, members of Congress were not invited to the Summit by President Bush. The Democratic governors had been in contact with the Congressional Democratic leadership prior to the Summit to strategize about how to get money for the National Education Goals.[40] When the Congressional Democrats unveiled their Education Goals, the Democratic Governors were present.[41] Nonetheless, the National Governors Association, a bipartisan group, needed to bypass some Congressional regulations in order to move forward with reform in the states.[42] In that respect, they were willing to work with the White House to get Congress to ease up on regulation and oversight. The White House, who was at odds with the Democratic Congress on many domestic policy issues, wanted to make an end run around Congress by enlisting the support of the NGA in getting Bush's education agenda moved forward.

Senator Kennedy and Senator Pell unveiled new legislation on the eve of the Summit which would give more than $700 million a year to teacher programs. This bill would have included: revitalization of the Teachers Corps; $8000 scholarships for those who teach in an inner city school or who teach science or math; special incentives to attract minorities to the teaching profession; and teacher academies in each congressional district. Republican Representative Peter Smith introduced legislation to allow local schools to combine federal and state money for special student populations if progress were guaranteed.[43]

The Democratic Congressional response to the National Goals is centered in two pieces of legislation, S. 2 in the Senate and H.R. 4323 (formerly H.R. 3320) in the House. This legislation is known as The Neighborhood School Improvement Act. The Congressional intention of this legislation is to aid state and local education agencies in meeting the National Education Goals. Both S.2 and H.R. 4323 have undergone changes since their inception.

The Senate Labor Committee reported S.2 (S. Rept.102-43) on April 19, 1991, the day after President Bush announced his America 2000 strategy for meeting the National Education Goals.[44] In its original form, when it was introduced in January, 1991, S.2 was a minor literacy bill with an authorization of $160 million. Immediately after the Bush initiative was announced on April 18, 1991, $312 million was added to S.2 to spur school-based management, to reward excellent schools and to improve math and science education.[45] The bill was revised again in Committee on November 13, 1991, and November 22, 1991. The final revision occurred during consideration on the floor when it was passed on January 28, 1992.[46]

The House Bill, H.R. 4323, was substituted for H.R. 3320 when the latter was killed in the House Education and Labor Committee on March 2, 1992. The original bill, H.R. 3320, was introduced on September 12, 1991, and reported by the Education and Labor Committee on November 7, 1991 (H. Rept. 102-294). The overall intent of both H. R. 3320 and H. R. 4323 was comprehensive state and local education reform.[47] The primary reasons that H.R. 3320 was defeated dealt with subordination of local school boards to the local planning committees and the issue of private school choice.[48]

The provisions of S.2 which have an authorization of $800 million include: aid to systemic reform at the state level; assistance at the sub-state level for individual, mostly "high need" schools; support for establishment of new types of public schools; school choice within only the public school setting; adoption of the National Eduction Goals into statute; reconstituting the National Education Goals Panel and a National Education Standards and Assessments Council; waiver by up to six state education agencies and the U.S. Department of Education of federal program statutory or regulatory requirements in up to 300 local educational agencies; allowance for up to 15 percent of state's federal grant money to be used to establish New American Schools; and allowance for other local grants to be based on New American Schools Development Corporation and other regulatory waivers similar to those in America 2000.[49]

The bill H. R. 4323 authorizes $700 million for new American Schools; coordination of education, health and social services; early childhood education programs; site-based management; education technology; parent involvement; professional development; activities to increase student achievement; and state and local planning. The planning committees submit reports to the state but they do not have responsibility for overseeing the implementation of local plans. They also have no jurisdiction of curriculum development, instructional materials or methods of assessment. Final decisions are reserved to the local school boards.[50] This bill is likely to be marked up on April, 28, 1992, and amended to include regulatory flexibility. A vote on the House floor is likely in the middle of May followed by a conference in June to resolve the differences with S.2.[51]

America 2000 has not been passed by Congress. The reason for this is that many members of Congress agree with Albert Shanker's (President, American Federation of Teachers) assessment," The heart of the President's legislative package has nothing to do with meeting the National Education Goals. Its real center is his version of school choice..."[52] President Bush's initiative contains a fifteen point accountability package in addition to the National Education Goals. Among the features of the accountability package are: world class standards, American achievement tests in five core areas, report cards which compare schools and states against national standards, choice, merit schools, differential pay for teachers and alternative certification for teachers.[53] The Administration requested $690 million for this package. It received an appropriation of $100 million which was contingent on the authorization of America 2000 legislation by April 1, 1992.[54] No legislation was passed by that date so that money must now be spent by Secretary of Education Alexander on programs which have already been authorized. The Secretary has not yet decided which programs will receive the $100 million.[55]

The President has four major priorities in terms of National Education Goals legislation: (1) greater flexibility in the uses of federal funding for education, (2) a separate authorization for New American Schools although he may compromise on the number which are funded in the first year, (3) public and private school choice, and (4) the Department of Education to have a role on the subpanel which will develop the eventual standards and measurements of the goals. Congress prefers the National Academy of Science to handle this effort.[56]

Given these requirements, a presidential veto of Goals legislation as embodied in S. 2 and H.R. 4323 is likely. Progress on the President's legislative proposal, America 2000, is equally unlikely in a Congress with Democratic majorities. This suggests that once again the locus of education reform will be at the state level.

THE NATIONAL EDUCATION GOALS PANEL

After initial disagreement, the White House and the governors approved the role and composition of the National Education Goals Panel in July, 1990. That same month the NGA members agreed to issue governor's reports on the progress within their states in meeting the Goals. The structure of the Panel was to consist of six governors (three Democrats and three Republicans), four members of the President's Administration, and four Congressional leaders acting as ex officio members. Between March and May of 1991, input from experts and the public was gathered regarding the long term indicators of progress toward the Goals. The National Council on Education Standards and Testing was created in June, 1991. The Goals Panel selected initial national and state indicators for the first Goals Report during June and July. In September the Panel received long term recommendations for future indicators and data systems for future goals reports. The first annual National Education Goals Report was released on September 30, 1991. The National Assessment Governing Boards released the first national and state NAEP results for math in terms of the new NAGB established achievement levels, which were reported in the Goals Report.[57]

In January, 1992, the National Council on Education Standards and Testing released its report. It proposed the creation of a new National Education Standards and Assessment Council with membership appointed by the National Education Goals Panel; that the Panel share responsibility with the new Council to certify standards and criteria for assessment of world class education performance. These recommendations were accepted. The Panel membership was changed to consist of eight governors, three from the President's party and five from the other party, two members of the Administration and four members of Congress.[58] The status of the members of Congress is no longer ex officio to allow for voting privileges.

In conclusion, several main reasons underlie the writing of the National Education Goals. The idea of an Education Summit had been in the air for at least several years prior to Bush's invitation to the governors. Once President Bush announced the Summit there was a groundswell of public support for Goals which coalesced in mid-September, 1989. The White House came to view the Goals as an inexpensive way to assert national leadership in a domestic policy arena. They responded to pressure from the business community and the public which held the belief that a comprehensive national education policy was necessary to meet world class standards. The governors who had worked on education reform individually within their own states and collectively through the National Governors' Association realized that the complexity of the problem required a national focus. In addition, they needed the Administration to help free education from Congressional regulation. Congressional Democrats, working with Democratic governors, saw the Summit as a way to move education to the front of the domestic agenda. While Congress did maneuver to keep pace with the governors and the President, there was consensus within the Democratic leadership that the Goals were a means to get more money from a Republican President for education. Despite initial success in developing coalitions for Goals there still remains serious differences about the implications of the National Education Goals and how this new world class education policy will be implemented and paid for.

NOTES

1. Deborah A. Verstegen, "Education Fiscal Policy in the Reagan Administration," Educational Evaluation and Policy Analysis, 12 (Winter, 1990): 355-373.

2. Thomas Toch, In the Name of Excellence. (Oxford: Oxford University Press, 1991), 17-18.

3. The National Governor's Association, (n.d.) The Nation's Governors: In the Forefront of Change. Washington, D.C. Pamphlet.

4. Lamar Alexander, Time for Results [Executive Summary] (Washington, D.C.: The National Governor's Association, 1986), 2-7.

5. National Governor's Association, Time for Results (Washington, D.C.: The National Governor's Association, 1987), 1.

6. Ibid., 2.

7. National Governor's Association, Time for Results (Washington, D.C.: The National Governor's Association, 1988), 6-7.

8. Ibid., 45.

9. Deborah A. Verstegen and Patricia Anthony, "Turning Points? The Federal Role in Education in the Bush Administration," Educational Considerations 17 (Spring, 1990).

10. Former Official at National Governor's Association, telephone conversation with author, 12 April 1992.

11. See on the Educational Excellence and Equity Act, Verstegen and Anthony,"Turning Points?," p. 8. This Act included among other things: cash awards to excellent schools and teachers, math and science scholarships, alternative methods for certifying teachers, expanded use of magnet schools to give greater choice, experiments for educational achievement which would promote research on programs that work, endowment of historically black colleges, a one time grant for eliminating drug problems in the schools and a literacy program for the homeless.

12. David Broder, "Education Help Might Be On The Way," Washington Post, 20 September 1989, Op. Ed., 25.

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CHAPTER 1 - GOAL 1

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ISSUE DEFINITION

The first National Education Goal--BY THE YEAR 2,000, ALL CHILDREN in AMERICA WILL START SCHOOL READY TO LEARN--encompasses several factors related to early school success, including high quality preschool programs, parental support, and health and nutrition care. Over the last two decades, the government has recognized the interrelatedness of these factors with major federal programs including Head Start (Department of Health and Human Services) and the Supplemental Feeding Program for Women, Infants, and Children (WIC-Department of Agriculture). This policy analysis unravels the federal commitment to National Education Goal 1 by focusing on key issues surrounding Head Start and WIC. Funding levels, numbers of eligible persons served and ability to deliver quality programs are the key issues discussed in this policy brief.

PART A--HEAD START

BACKGROUND

Head Start is administered by the Administration for Children, Youth and Families [ACYF] in the Department of Health and Human Services. Programs are operated by: community action agencies; private, non-profit organizations; public schools; state or local governments; religious organizations; and other organizations, including tribes. Grants, awarded by the Health and Human Services Regional Offices, do not exceed 80% of the approved costs of the program; 20% of the cost is paid by the local community through cash or contributed services.[1]

Since its inception in 1965, Head Start has attempted to assure children of low-income families an "equal" beginning with their more advantaged peers. Services have addressed their needs holistically in terms of education, social development, nutrition and health, with special emphasis placed on involvement of parents and communities. Reporting immediate positive effects on children's cognitive development, social and emotional development, and health care, and on family and community institutions, a meta-analysis [1970-1985] underscores Head Start's effectiveness in achieving goals related to early school success,[2] and raises important issues related to Goal 1.

Research substantiates that investments in high quality preschools serving children in poverty reaps long term economic and social benefits. Every $1 spent on comprehensive and intense preschool programs for economically disadvantaged children saves society nearly $6 in long-term costs of welfare, remedial education, teen pregnancy and crime.[3] The Ypsilanti Perry Preschool Project reports per child savings of $6,000 a year in public education, $22,500 in welfare payments, $4,000 in reduced costs related to the criminal justice system, and a $6,500 bonus in increased taxes paid on higher earnings.[4]

In terms of social benefits, McKey et al. found that participants in Head Start programs have reduced numbers of grade retentions and special education placements.[5] Evaluation of New York's Project Giant Step validated the crucial parent-child link and its influence on future school success through evidence of parents' positive changes in attitudes toward child-rearing, more confidence in their roles as teachers, and better understanding of child development and learning processes.[6] Long term savings such as these underline the importance of Head Start in meeting National Education Goal 1--By the year 2,000, all children in America will start school ready to learn.

History

As a major thrust on the War on Poverty, the Economic Opportunity Act (EOA) of 1964 [P.L. 88-452] authorized Head Start, a first-time federal program directed to meet the needs of low-income preschoolers and their families. Collectively, Head Start and other programs created by EOA purposed "to eliminate the paradox of poverty in the midst of plenty...by opening to everyone the opportunity for education and training, the opportunity to work and the opportunity to live in decency and dignity."[7] Historically, the development of Head Start is described by four periods:

(1) The start-up period [1965-1968] featured quickly planned and diverse summer programs serving roughly 561,000 children.

(2) The transition years [1969-1972] observed the conversion from summer to year-round programs and the solidification of programs to meet the unique needs of communities.

(3) The improvement and innovation years [1972-1977] introduced performance standards, initiated program options and experimental programs, and developed the Child Development Associate [CDA] program for training and certifying staff.

(4) The expansion years [1978-1982] saw appropriation increases beginning in 1978 of $150 million and increases in numbers of children served.[8]

Through the 1980's, Head Start received steady increases in government funding, reaching appropriations of $1 billion in 1985, and $1.2 billion in 1989. Although the number of eligible children served increased through the 1980's, the percentage of eligible children served declined. In 1978, Head Start served 25.4% of eligible children; in 1987, 18.5%.[9] In 1990, 23.2% of eligible children were served,[10] and in 1991, 23.5%. It is estimated that 25.1% of eligible children will be served in 1992.[11]

The following legislative history chronicles major changes in Head Start laws and describes more fully recent legislation. Amendments to EOA have attempted to expand resources and programs. The 1974 Amendments, for example, required that states receive at or above the 1975 funding level for three consecutive years.[12] The 1984 Amendments specified priority funding for programs already in existence unless such grantees fail to meet specified standards; required the provision of training and technical assistance and mandated that such funds be no less than the amount expended in 1982, provided appropriations met the 1984 level; and added language clarifying that local Head Start programs may provide more than one year of services to children from age three to the age of compulsory school attendance according to state laws.[13]

Recent reports on the numbers of children living in poverty, the recognition given to effective early intervention programs, and the need to retain international competitiveness in a global marketplace prompted a coalition of business, education and government leaders to strongly support Head Start. This support and other advocacy and Congressional efforts culminated in historic legislation in 1990 calling for full funding and quality services for all eligible children.[14]

Signed into law on November 3, 1991, the Augustus F. Hawkins Human Services Reauthorization Act of 1990 [P.L. 101-501] constituted the largest increase in Head Start funding. The law reauthorized Head Start for fiscal years 1991-1994 with a commitment to full funding by 1994 and a mission to expand services and upgrade quality. Highlights of the Head Start Reauthorization include:

1) authorizations of $2.4 billion for Head Start for FY 1991; $4.27 billion for FY 1992; $5.92 billion for FY 1993; and $7.66 billion for FY 1994 [based on $2767 cost per child estimates];

(2) a set-aside of 10% of fiscal year 1991 appropriation [after inflation] and a subsequent 25% of each year's increase in funds for quality improvements (increasing teachers' salaries [50% of set-aside] and training and technical assistance programs, buying equipment, and renovating facilities);

(3) funds for short term and longitudinal studies on effects of Head Start on children, families and communities;

(4) provisions for education services for Head Start parents;

(5) a set-aside of $30 million in 1991 for establishing Parent-Child Centers run by Head Start agencies, increasing to $33.7 in FY 1994;

(6) provision for at least one certified Child Development Associate teacher in each Head Start classroom by 1994;

(7) 2% of annual appropriations over the next four years reserved for training.[15]

Certain features of the House and Senate bills were not included in P.L. 101-501. The House version of the bill [H.R. 4151] requested funding authorizations based on cost estimates of $3500/child, a figure closer to the National Association for the Education of Young Children recommended $4,200/child for quality early childhood programs, and a set aside of 10% of total funding each year for quality improvements.[16] The Senate version [S. 2229] addressed a criticism of public programs serving families in need--the lack of coordination and integration of services[17]--by authorizing funding for programs to coordinate and integrate federal, state and local programs supporting children and teenagers.[18]

In June of 1991, the Senate recognized the federal commitment to National Education Goal 1 with the School Readiness Act [S. 911]. Calling for $33 billion over six years in mandatory spending [based on the same cost per child estimate in the Augustus F. Hawkins Human Services Reauthorization Act (P.L. 101-501)], the School Readiness Act proposes to:

(1) serve all eligible three- and four-year olds and 30% of five year olds;

(2) assure funding for quality improvements;

(3) reserve a 3% set-aside to increase Parent and Child Centers;

(4) extend provisions for full day services by allowing local parent policy councils to determine the need;

(5) change Head Start regulations from permitting use of funds for renovation of facilities to include use of funds for construction and purchasing facilities.[19]

According to the Congressional Budget Office, projections for Head Start in the next five years range from $2.05 million in 1992 to $2.2 billion in 1996 [Table 1.1]. The School Readiness Act [S. 911] authorizes funding for Head Start programs above baseline levels by $950 million in 1992 and $4.8 billion in 1996. In addition, S. 911 authorizes funding through 1997, thus reinforcing the federal commitment to full funding over a longer period of time. The bill makes Head Start an entitlement program, ensuring

Table 1.1

Comparison of Current Head Start Authorizations, CBO Projections and S. 911 Authorizations, Fiscal Year 1992-1997 (billions of dollars)

Fiscal Year	Authorization	CBO Projection	S. 911
1992	4.27	2.05	3.0
1993	5.92	2.13	4.0
1994	7.66	2.21	5.0
1995	-	2.21	6.0
1996	-	2.21	7.0
1997	-	-	8.0
Total			33.0

Sources: U.S. Senate. Readiness Act of 1991. 102d Cong., 1st Sess., Report 102-140, 9-10; "Major Expansion for Head Start Program," Congressional Quarterly Almanac 46 (1990): 552.

NOTE: Current Head Start Authorizations = Augustus F. Hawkins Human Services Rauthorization Act of 1990 [P.L. 101-501]; CBO= Congressional Budget Office; S. 911= Readiness Act of 1991.

direct funding, rather than a discretionary program under current law.[20]

The Head Start Improvement Act of 1992 [H.R. 5630] proposes changes in Head Start law to preserve the quality of Head Start services and to allow existing programs to expand while the appropriations grow:

(1) extends the current distribution formula for quality improvement moneys, which allows local directors to control 80% of the quality improvement funds for upgrading teachers' salaries and transportation, increasing staff, and improving facilities [rather than decrease local directors' control to 67% during FY's 1993 and 1994 as in current law];

(2) establishes broader guidelines which the Secretary is required to consider when an agency requests a waiver of the non-Federal match;

(3) requires the Department of Health and Human Services to establish regulations for a cost-effective and safe transportation system for Head Start children;

(4) strengthens the monitoring and evaluation process of Head Start agencies, for new grantees such that monitoring would occur after the first year of start-up, and for follow-up reviews of programs classified as high-risk;

(5) requires [rather than "permits"] Head Start programs to provide literacy and child development skills training to Head Start parents, either directly or through community programs;

(6) allows Head Start funds to assist families with the medical needs of younger siblings;

(7) permits local programs to purchase facilities if children would go unserved or if there is documented cost savings in purchasing rather than leasing facilities.[21]

Legislation in the 1990's has continued to increase Head Start funding and amend regulations, although the degree to which recent legislation has had an impact on Head Start programs is unclear. The following analysis attempts to address some of the issues surrounding this question.

ANALYSIS

Related to National Education Goal 1, the key issues surrounding Head Start concern funding levels, the number of eligible population served, and ability to deliver quality programs. Each of these issues is further defined and examined in this section.

Table 1.2

Head Start Appropriations from 1981-1992 [billions of dollars]

Fiscal Year	Appropriation	Percent Increase
1981	.814	-
1982	.909	11.6
1983	.912	.3
1984	.995	9.1
1985	1.08	8.5
1986	1.04	-3.7
1987	1.13	8.6
1988	1.20	6.2
1989	1.23	2.5
1990	1.55	26.0
1991	1.95	25.8
1992	2.20	12.8

Source: Executive Office of the President, Office of Budget and Management, Budget of the United States Government, (Washington, D.C.: Government Printing Office, Selected Years).

Table 1.3

Method Used to Project Head Start Funding Levels Vs. Alternatives

Method	Alternatives
Total number of U.S. low-income 3-, 4-, and 5- year olds: 2,475,000 [Current Population Survey] Estimated Number of Children Served in 1990 Head Start Programs: Age 3 = 112,743; Age 4 =326,121; Age 5 = 36,078	
Step 1: To find the number of low-income children/age group, divide the total number of U.S. low-income children by 3 [assuming equal numbers per age group]. 2,475,000/3 = 825,000 total low-income children per age group	
ASSUMPTION 1: 20% of families do not enroll their child in Head Start because they prefer alternative programs or prefer the child remain at home.	Do not adjust number of eligible by 20%.
Step 2: To estimate slots based on assumption 1, multiply total low-income per age group by .80. 825,000 x .80=660,000 [age 3] 825,000 x .80=660,000 [age 4] 825,000 x .80=660,000 [age 5]	825,000 slots for age 3 825,000 slots for age 4 825,000 slots for age 5
ASSUMPTION 2: Current law permits 10% over-income participation; method assumes over-income participation at 5%, current level.	ALTERNATIVE: Use 10% over-income participation permitted by law.
Step 3: To find enrollment slots needed to fully fund Head Start, multiply total low-income per age group by 5% and add that figure to each answer in step 2. [660,000x.05]+660,000=693,000 [660,000x.05]+660,000=693,000 [660,000x.05]+660,000=693,000	Multiply slots/age group by .10 [825,000x.10]+825,000=907,500 [825,000x.10]+825,000=907,500 [825,000x.10]+825,000=907,500

Sources: U.S. House of Representatives, Committee on Education and Labor, Head Start Reauthorization, 101st Cong., 2nd sess., S.Hrg. 101-660, 35.

[continued]

Table 1.3 [continued]

Method Used to Project Head Start Funding Level Vs. Alternatives

Method	Alternatives
Step 4: To find the number of 3-5-year olds not served during 1990, subtract the number served in 1990 from total for each age group. 693,000-112,743=580,257 [3] 693,000-326,121=366,879 [4] 693,000- 36,078=656,022 [5] Estimate of Total 3-5- year olds not served: 1,603,158	To find the number of children not served per age group, subtract the number served in 1990 from the total eligible for each age group. 907,500-112,743=794,757 [3] 907,500-326,121=581,379 [4] 907,500- 36,078=871,422 [5] Estimate of 3-5-year olds not served: 2,247,568
Step 5: To find the estimated additional dollars needed to fully fund Head Start programs based on assumptions 1 and 2, multiply number (not served) in each group by $2,767 [1990 estimated cost per child] 580,257x$2,767=$1,620,725,000 366,879x$2,767=$1,015,154,000 656,022x$2,767=$1,815,213,000 TOTAL ADDITIONAL =$4.4 BILLION	Multiply numbers not served in each age group by $2,767. 794,767x$2,767=$2,199,092,619 581,379x$2,767=$1,608,675,693 871,422x$2,767=$2,411,224,674 TOTAL ADDITIONAL =$6.2 BILLION
ASSUMPTION 3: The vast majority of 5-year olds should not be considered part of Head Start's constituency as they are enrolled in kindergarten. [Subtract additional dollars needed for 5-year olds: $4.4 billion-$1.8= $2.6 billion TOTAL ADDITIONAL LESS DOLLARS/5-YR OLDS = $2.6 BILLION	ALTERNATIVE: Include 30% of eligible 5-yr olds, based on estimates of 70% attending kindergarten or preschool programs: [.30 x 871,422] x $2767= $723,000]. TOTAL ADDITIONAL FOR 30% ELIGIBLE 5-YR OLDS = $4.4 BILLION

Sources: U.S. House of Representatives, Committee on Education and Labor, Head Start Reauthorization, 101st Cong., 2nd sess., S.Hrg. 101-660, 35; U.S. Department of Education, National Center for Educational Statistics. Digest of Educational Statistics (1991). Washington, D.C.: U.S. Department of Education, Office of Evaluation, Research, and Improvement.

Funding Levels

Funding levels are analyzed along three dimensions, the change in dollars from 1981-1992, Congressional Budget Office estimates, and the method used to calculate authorization levels in P.L. 101-501, the most recent Head Start law.

Table 1.2 lists appropriation levels from 1981-1992 showing steady increases [except in 1986], with 1990 receiving the largest percentage increase of 26%. In 1991 Congress authorized $2.4 billion; appropriations were $1.95 billion, still a $400 million increase over FY 1990.[22]

The meaning of "full funding" lies at the heart of federal support for Head Start. In social and educational arenas, the term refers to the dollars needed to serve 100% of eligible participants. To some members of Congress, the term refers to the dollars needed to serve all eligible three-, four- and 30% of five year olds,[23] and to the administration, the term refers to the dollars needed to serve 80% of eligible four-year olds for one year.[24]

The Congressional Budget Office has estimated the costs of serving all eligible three- through five-year olds by fiscal year 1993, using a three-year phase-in plan. For 1993, estimated costs adjusted for inflation would be $8.1 billion. CBO recommends caution in using their estimates, however. Estimates may be too low depending on certain variables [increases in costs of full day programs, personnel, and services], and are based only on the number of poor children served, not accounting for the number of over-income participants, handicapped children, and children under age three. Estimates may be too high in that they do not account for the number of Head Start eligible children served by other programs, including private and state-funded programs, kindergarten, and full-day child care programs.[25] Cautions raised by CBO in using estimates based on number of children living in poverty underlines the need for better methods of data collection, and for collaboration among state, local, and other agencies in order to reach the children most in need of services and not receiving them.

The administration's definition of full funding translated to the authorization levels set in the Act [$2767/child]; however, the methodology used to calculate cost per child estimates is based on a number of questionable assumptions.

Table 1.3 outlines the method used to estimate Head Start funding levels in the Human Services Reauthorization Act [P.L. 101-501], described by Dr. Wade Horn, Commissioner of the Administration of Children, Youth and Families.[26] To arrive at additional monies needed to fully fund Head Start, cost estimates are based on the number of eligible children served/not served in

Head Start programs, multiplied by the estimated cost per child of $2,767 during 1990.[27]

From the estimate [Current Population Survey, 1990] of low-income children ages three, four and five [2,475,000], several reductions in numbers were made. Assumption one was--"20% of families would not enroll their child in Head Start because they would prefer alternative programs or would prefer the child remain at home."[28] With this assumption, the projected number of children eligible for assistance is 660,000 across age levels instead of 825,000 [equally dividing 2,475,000 over the three age groups]. This assumption raises a number of concerns. Research indicates that many children do not attend Head Start due to factors related to access [transportation getting to the facility], availability [limited number of slots and programs], and education [parents unaware of programs],[29] rather than parent preference for alternative programs or for children remaining at home. More research is needed to substantiate the numbers of children who are not served and the reasons for nonparticipation.

Assumption two--bases over-income participation at 5% instead of the allowable 10%, thus the number of slots was further reduced.[30] The method used to figure cost per child estimates based on these two assumptions results in 580,257 three-year olds, 366,879 four- year olds, and 656,022 five-year olds not served [kindergarten not considered]. If the alternative method is applied--using 10% over-income participation permitted by law--and the same estimates of eligible children in low-income families, 794,757 three-year olds, 581,379 four-year olds, and 871,422 five-year olds would not be served. In terms of dollars, these numbers compute to $6.2 billion additional dollars needed to serve all eligible three- four-, and five-year olds compared to the estimate of an additional $4.4 billion based on the assumptions of administration officials. Authorization for the Head Start Act, however, calls for a total of $2.4 billion which reflects only the additional dollars needed to serve all eligible four-year olds in 1991 [$1 billion dollars]. Under this method, then, 1991 authorizations underestimate the funding need to serve all eligible children by $5.2 billion dollars. Appropriations of $1.95 billion undercut the dollars needed to serve all eligible children by $5.7 billion dollars.

The third assumption--that the majority of eligible five-year olds are enrolled in kindergarten, and therefore, are not considered potential enrolles of Head Start--further underestimates the eligible population and deflates authorization levels. Using administration officials' assumption, additional dollars needed to serve eligible three- and four-year olds is $2.6 billion compared to $4.4 billion if allowing for 30% participation of eligible 5-year olds. Until all public schools provide kindergartens and mandate kindergarten attendance, eligible five-year olds need to be considered part of the Head Start potential constituency.

The administration's methodology raises another concern. Cost per child estimates of $2767 used in P.L. 101-501 slights the dollars needed for high quality programs that yield long-term results. The National Association for the Education of Young Children recommends $4,200 per child;[31] the Committee for Economic Development supports $4800;[32] and the Perry Preschool Project invests about $6600 per child.[33] The analysis of funding levels raises concern that Head Start authorizations seriously underestimate the dollars needed to ensure high quality programs for all eligible children.

Numbers of Eligible Children Served

Another issue surrounding Head Start as it relates to National Education Goal 1 is numbers of eligible children served. Eligibility according to Head Start law included children below the age for compulsory school attendance of families living at or below the poverty level. Head Start regulations narrow eligibility criteria to include children at least three years of age and require that 90% of participants are in families living at or below the poverty level.[34]

The number of children under age six living at or below the poverty line has risen from 3,477,440 in 1980 to 5,413,000 in 1990 [55%].[35] Although the numbers of children served in Head Start programs has risen since its inception, on the average the program has consistently reached roughly 20-25% of the eligible population. During its start-up period, Head Start served 561,000 children in six to eight week summer programs.[36] In FY 1978, Head Start served 400,000 children in full year and summer programs; in FY 1985, 442,000 children in full-year, part-time and summer programs;[37] in 1989, 451,000 children;[38] and in 1990, Head Start Programs served approximately 475,000 children.[39]

Why does Head Start reach only about 20% of the eligible population? Inadequate funding at the federal level is the primary reason. Appropriations in 1991 reflect dollars needed to serve 80% of eligible four-year olds for one year. This percentage reflects approximately 20% of the number of three-, four- and five- year old children living in poverty. Additional problems associated with Head Start programs reaching all eligible participants include: lack of facilities to house programs, and inflationary increases in operational costs.

In communities such as San Antonio, Camden [NJ], New York and other cities where the nation's largest numbers of children live in poverty, Head Start programs cannot operate because communities and schools do not have the resources to house the programs.[40] Other explanations point to inflationary increases in insurance premiums, rents, renovations and replacement costs.[41] In Massachusetts [1990], for instance, health insurance costs escalated 30% in one year and rent at two sites increased 25%, yet funding reflected only a 2.5% inflationary increase.[42] Operating within stringent budgets, program directors are strapped with tough decisions on how to cut costs and deliver quality services.

Ability to Deliver Quality Programs

Funding levels, numbers of children served and ability to deliver quality programs are inextricably linked as key issues surrounding Head Start. Dollar amounts impact the number of children served and Head Start's ability to deliver quality programs. Ability to deliver quality programs partially depends on the duration of services and the teacher who is central to program implementation. For these reasons, these two factors are reviewed herein, but this does not imply that other factors [instructional program, parent support, involvement of social services] have lesser roles in this issue.

Many factors have contributed to the need for high quality preschool experiences, particularly for children living in poverty. Their needs stem from interactions among various conditions in their environments, which may include prolonged parental unemployment, abuse, poor nutrition and health, and meager or no parental support.[43] In 1988, more than 75% of all Head Start parents had annual incomes below $9,000, more than half were headed by single parents and about 47% were recipients of Aid to Families with Dependent Children [AFDC].[44]

Characteristics of high quality programs related to duration of services and staff qualifications include:

(1) responsiveness to parents' needs;

(2) trained and certified staff;

(3) on-going staff development; and

(4) reasonably low staff turnover rate.[45]

An array of interrelated social and economic factors characterizing eligible Head Start families calls for flexible and responsive programs. This means, in part, the ability of Head Start programs to match parents' needs in terms of schedules. Working parents need child care full-day and during the summer. Since 1972, full-day Head Start programs declined from 33% to 15%, with most programs operating on a ten-month schedule.[46] McKey et al. found that longer program duration in terms of years of participation results in greater cognitive gains.[47] Zigler's review of Head Start programs in 1980 reported erosion of quality due to shortened hours and duration, reductions in staff and higher child/staff ratios.[48] Because current law [P.L. 101-501] authorizes funding for 80% of eligible four-year olds for one year, children served are not guaranteed the potential benefits for extended participation as supported by research.

Research also supports the second factor impacting program quality--teacher qualifications. According to Granger, "the barometer for determining the ... appropriateness of a program is a combination of the materials teachers select, ... environments teachers create, and the interactions between teachers and children."[49] Estimates on the numbers of preschool teachers who hold teaching credentials range from 20%-36% with estimated annual salaries of $12,500 per year.[50] Head Start teachers' annual salaries average $15,024, and their public school counterparts earn $28,085 [beginning teachers average $18,350]. Disparities in teacher salaries underlies the reason for child care staff turnover rates of 40%.[51]

If the 10% set-aside for quality improvements were available as proposed in P.L. 101-501 and 50% of that were used for teacher salaries,[52] the nations' 20,000 Head Start teachers[53] could see an approximate $4,000 increase per teacher, yielding a salary more in line with a beginning public school teacher's salary, although still well below the average salary for all teachers. As long as inflationary adjustments affect the set-aside dollars, however, Head Start teachers will be slow to catch up with their public school counterparts.

The Head Start law requires at least one certified Child Development Associate [CDA] teacher in every Head Start classroom by 1994. Without salary motivation, however, the likelihood of recruiting qualified personnel is slim, and Head Start teachers will most likely continue to flee Head Start programs for higher paying public school positions.

In sum, this analysis of Head Start in terms of funding levels, the number of children served and factors related to ability to deliver quality programs, deems the federal commitment to National Education Goal 1 "not strong enough" to guarantee quality services for all eligible children.

RECOMMENDATIONS

Because funding levels, numbers of children served and ability to deliver quality programs are inextricably linked as key issues surrounding Head Start, recommendations to strengthen the federal role in ensuring National Education Goal 1--By the year 2,000, all children enter school ready to learn--need to be considered interdependently. In summary:

The School Readiness Act of 1991 [S. 911], making Head Start an entitlement thereby allowing all eligible three-, four-, and 30% of five-year old children to participate in Head Start, and the Head Start Improvement Act of 1992 [H.R. 5630], addressing quality issues, are major steps toward Head Start's expansion and the potential for realizing National Education Goal 1.

To fully reflect a commitment to high quality early childhood programs, additional provisions need to include:

(1) an increase in the cost per child estimates from $2767 [following those used in P.L. 101-501] to at least $4200/child based on research recommendations for high quality early childhood programs that operate full-day, full-year, and employ certified early childhood teachers.

(2) consideration of an alternative methodology used to project authorization levels. Estimates should rest on actual numbers of three-, four-, and five-year old children not served rather than an assumption that 20%, an arbitrary percentage, of eligible parents would not enroll their children and include the maximum of 10% for over-income participation as permitted by law. Since the number of Head Start families are largely AFDC recipients, Head Start directors should be guaranteed access to social service agencies AFDC listings as a data base for identifying eligible children.

(3) continued efforts to validate the number of children served in Head Start programs. Additional federal funds should provide grant awards to spur research efforts to investigate the reasons why children do not attend Head Start or other preschools, and for states and localities to collect data on eligible children not served.

Related to ability to deliver quality programs, recommendations include:

(4) Funding levels to support children's participation for at least two years and program operation year round. Currently, most Head Start programs operate ten months of the year and primarily serve eligible four-year olds for one year.

(5) Because teachers are key to the delivery of quality programs, all Head Start teachers need to be certified in Early Childhood Education, and their salaries need to be competitive with their public school counterparts. Current law requires one certified Child Development Associate teacher in each Head Start classroom by 1994. Yet, that guarantee is tied to a set-aside available only after appropriations have been adjusted for inflation plus 10%. Funding for salary increases and staff development activities should be guaranteed, rather than tied to inflationary adjustments.

The Federal commitment to National Goal 1 is primarily an issue of funding to support the largest public preschool program offered in the United States. Without adequate dollars to ensure high quality preschool experiences for children living at or below the poverty level, the nation will not reach its goal--BY THE YEAR 2,000, ALL CHILDREN WILL ENTER SCHOOL READY TO LEARN.

PART B--SUPPLEMENTAL FEEDING PROGRAM FOR WOMEN, INFANTS, AND CHILDREN

BACKGROUND

The Supplemental Feeding Program for Women, Infants, and Children [WIC] is a federally funded nutrition assistance program that provides supplemental foods, nutritional education, and access to health services to low income pregnant, breast-feeding, and postpartum women, infants and children up to five years old.

In August of 1991 the Office of Elementary and Secondary Education and the Office of Planning, Budget and Evaluation of the Department of Education developed guideposts for achieving the first National Education Goal. This document, which focuses on school readiness, states:

> Young children are eager to learn, yet not all children succeed in school. Children's first learning experiences should lay the foundation for success in school and in adult life. To do this, early childhood experiences must promote children's physical development, social maturity, emotional adjustment and cognitive capacities. They should nurture children's motivation to learn and give children a start in communicating and solving problems.
>
> While the concept of school readiness focuses attention on those years just prior to formal schooling, it incorporates the critical periods of growth from birth to about age eight. During this time, children are primarily socialized and educated by their families and caregivers and by the opportunities they have to explore the world.
>
> Moreover, the environment needed to develop the necessary knowledge, dispositions and skills may be denied to children who are disadvantaged or who have disabilities. Indeed, the increasing numbers of young children in poverty, in single-parent households and in families where English is not spoken require schools and communities to develop new ways of educating children and securing the support of their families. One response to this concern has been the growth of early childhood programs--often coupled with family education--in the belief that the prevention of problems is more humane and effective than remediation.[54]

The National WIC Evaluation Report was released in January of 1986. The report supported WIC and stated:

(1) the program has a significant effect on the quality of participant diets.

(2) participants experience longer gestation periods by 1.4 days, with lower incidence of preterm delivery, especially among less educated participants and infants born to WIC participants had higher birthweights.

(3) WIC has significant effect on fetal mortality rates, which is responsive to the nutritional and physiological status of the mother.[51]

Good nutrition during pregnancy, infancy and early childhood are essential to a child's physical and mental development. It is a vital element of preventive health care. WIC is a critical program for making sure that good nutrition is available during these key months and years in a mother's, a baby's and a child's life.[52]

Legislative History

In 1969, Congress created the Commodity Supplemental Food Program (CSFP), to help low-income pregnant women, infants and children up to age five.

In 1972, Congress authorized the creation of the Special Supplemental Food Program for Women, Infants, and Children (WIC). This was a two-year pilot project to serve pregnant and postpartum women, infants and children to age four (rather than to age five as under CSFP).

Responsibility for administration at the federal level was put with the United States Department of Agriculture Food and Nutrition Service (USDA/FNS). Federal funds were to be distributed to state health departments for allocation to local agencies through regional directors. The USDA set up a task force to monitor the program.

Congress appropriated $20 million (of section 32 funds) for FY 1973 and authorized $20 million for FY 1974.

In 1973, a class action suit was filed by the Food Research and Action Center against the USDA to establish the regulations and spending of all appropriated money. On August 29, 1973, the first WIC project was approved.

In 1974, Congress extended WIC through FY 1975 and authorized $40 million [P.L. 93-150]. P.L. 93-326 raised the funding level to $100 million for FY 1975.

In 1975, P.L. 93-150 officially made WIC a national health and nutrition program. Congress also expanded eligibility for the program to nursing mothers for a period of one year postpartum, to postpartum non-nursing mothers up to six months and to children up to age five.

In 1976, a class action suit was filed against the USDA. The USDA was required to spend $125 million left over from FY 1974-75 and $62.5 million from a three month period in 1976. It was ordered to spend the full funding amounts authorized for FY 1977-78.

Congress extended the WIC program through FY 1982, authorizing $550 million for FY 1979, $800 million for 1980, $900 million for FY 1981, and $950 million for 1982. There was no requirement for full appropriation of these amounts.

P.L. 95-627 changed the eligibility requirements to meet the maximum income eligibility level set to qualify for reduced-priced school meals under the National School Lunch Act. States could set their own lower limits as long as they stayed above 100 percent of the Secretary of Agriculture's income poverty guidelines (the Office of Management and Budget guidelines adjusted for inflation).

In 1980, the Omnibus Budget Reconciliation Act extended WIC through 1984.

In 1981, budget reconciliation legislation lowered the maximum income eligibility level, thereby lowering the eligibility level of WIC (1981 OBRA).

In 1986, the Continuing Resolution for FY 1987 [P.L. 99-591] included provisions of H.R. 7, the School Lunch and Child Nutrition Amendments of 1986. WIC was reauthorized through FY 1989.

P.L. 100-237 came out of H.R. 1340 to allow WIC agencies to use up to 20% of cost savings from infant formula rebates towards administrative costs of increasing participation. Carry-over and backspending were allowed of up to 1% of the total grant for the next FY.[53]

The WIC program is vital to the National Education Goal 1 and its objectives. The following analysis will be focused on the extent of and commitment to achieving the objectives of the National Education Goal 1.

ANALYSIS

Eligibility Criteria

The following is a list of eligibility criteria:

(1) member of a household with an annual income of between 100 and 185 percent of the Office of Management and Budget (OMB) poverty guidelines.

(2) maximum eligibility level is linked by law to the level for reduced-price meals in the National School Lunch Program.

(3) must be diagnosed to be at nutritional risk by a health professional.

(4) once approved, recertification for mother is needed every six months.

Due to limited resources for the WIC program, a priority system is used to determine eligibility criteria for those at highest risk. This system runs from a Priority I participant to a Priority VII participant with Priority I being at most risk.

(1)	Priority I	Pregnant and breastfeeding women, and infants demonstrating hematological, anthropometric or otherwise medically-determined conditions indicating nutritional deficiency.
(2)	Priority II	Infants up to 6 months old whose mothers participate--with hematological, anthropometric or medically-determined nutritional deficiencies and infants whose mothers were at nutritional risk during pregnancy according to these same indicators but did not receive WIC care.
(3)	Priority III	Children with hematological, anthropometric or otherwise medically-determined nutritional deficiencies.
(4)	Priority IV	Pregnant women, breastfeeding women and infants with an inadequate dietary pattern.
(5)	Priority V	Children at nutritional risk because of an inadequate dietary pattern.
(6)	Priority VI	Postpartum women at nutritional risk.
(7)	Priority VII	Previous participants who may regress in nutritional status unless they receive continued WIC services.

In 1986, a study by the USDA showed that 26.8% of participants were Priority I, 10.3% of participants were Priority II, 37.9% of participants were Priority III, 4.1% of participants were Priority IV, 11.4% were Priority V, 6.3% of participants were Priority VI, and 0.6% were Priority VII. This survey indicates that service to children (Priorities III & V) only make-up 49.3% of the participants served in these high-risk areas.[54]

Funding

WIC is administered at the federal level by the USDA/FNS. The USDA regulates and distributes funds to state and territorial health departments and Indian Tribal Organizations. The FNS with its seven regional offices assists in technical matters.

(1) States allocate monies to local agencies and clinics.

(2) States certify local sponsoring agencies.

(3) 80% of federal WIC funds are allocated for food purchases.

(4) 20% of federal WIC funds are allocated for administration and nutrition service.

(5) States receive "stability" funds based on grants from previous years.

(6) "Residual" or "equity" funds are distributed with 50% to states which serve a higher number of individuals at greatest nutritional risk--50% to states with higher percentage of overall eligible population.

WIC is not an entitlement program, even though it has received consistent funding (see Table 1.4). Appropriation levels have not been adequate to serve all persons eligible (see Table 1.5) for benefits. As an example of this, the Congressional Budget Office estimates that it would cost approximately $3.8 billion in FY 1989 to serve all individuals who are eligible for WIC benefits (see Table 1) compared to the WIC appropriation for FY 1989 at $1.9 billion. This insufficient funding causes problems with long-term planning at the state level. Since 1989, WIC federal funding has increased by $240 million which is a 47% increase over 1989. In 1989, WIC served 3.3 million eligible women and children each month. At the budget level for 1991, WIC would serve 5.3 million women and children, an increase of 61% over 1989.[55]

Table 1.4

Cross Time Funding Levels: Women, Infants and Children

Fiscal Year:	
1980	$725
1981	869
1982	948
1983	1,123
1984	1,386
1985	1,488
1986	1,581
1987	1,681
1988	1,802
1989	1,929
1990	2,126
1991	2,350
1992	2,600
1993	2,840

Source: U.S. Senate, House of Representatives, Select Committee on Hunger and the Committee on Agriculture, Nutrition, and Forestry. Joint Hearing, National WIC Evaluation: Reporting and Followup Issues, 101st Congress, 2d sess., S. Rept. 90-338-P, 30.

Table 1.5

WIC[1] Participation Trends
(In Percent)

WIC Participant Groups	Estimated percent of eligible population participating in WIC: 1979	1984
Pregnant women	27.3	46.1
Postpartum women	39.5	46.5
Breastfeeding women	11.5	27.1
All Women	26.7	41.5
Infants	42.5	66.9
Children	22.7	32.4
All WIC	26.8	39.9[2]

Source: U.S. Senate, House of Representatives, Select Committee on Hunger and the Committee on Agriculture, Nutrition, and Forestry Joint Hearing, National WIC Evaluation: Reporting and Followup Issues, 101st Congress, 2d sess., S. Rept. 90-338-P, 27.

1. Women, Infants and Children

RECOMMENDATIONS

Recommendations for WIC program focus around five main areas: funding, communication/coordination, eligibility, outreach, and program management/simplification.

Funding

(1) Funding should continue to increase to assure services to the greatest number of eligible individuals.

(2) Administrative spending cap should be increased from 20% and direct service costs should be considered separately from other administrative costs.

(3) Federal funds should be distributed earlier in the fiscal year and/or on a multi-year basis for planning and positive enrollment.

Communication/Coordination

(1) Improve coordination of WIC and Medicaid, Maternal and Child Health at the state and local levels.

(2) Establish advisory committees comprising membership of local health professionals, community members, participants and WIC officials to communicate and provide outreach.

Eligibility

(1) Medicaid recipients should be categorically eligible for WIC benefits.

(2) Definition of a household should be revised to permit separate household status for pregnant teenagers who reside with parents--counting a pregnant woman as two individuals.

(3) Raise income eligibility and expand nutrition risk criteria.

(4) Use volunteers to expand enrollment through increased manpower to simplify applications and participation procedures.

Outreach

(1) Educate the media and neighborhood schools to the values of the WIC program.

(2) Involve former participants in education programs within the communities served.

Program Management/Simplification

(1) Greater funding for technical assistance such as data processing, computer generated analysis, etc..

(2) Improve staff training and updates on mandated legislation and regulations.

(3) Streamlining of Federal monitoring and evaluation.[56]

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27. Cf. U.S. Library of Congress. Congressional Research Service. The Head Start Program: Background Information and Issues. CRS Report for Congress No. 90-98 EPW, by Anne C. Stewart and Dale H. Robinson, February 15, 1990, p. 5. "Average cost per child" represents the amount of funding Head Start Programs receive to provide services to children, excluding costs for training,

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CHAPTER 2 - GOAL 2

-John Sipple

ISSUE DEFINITION

After having witnessed the high school graduation rate rise from 40% to 75% in the last fifty years, the nation's leaders have deemed the present dropout rate of 20-25% unacceptable. The second National Education Goal set forth by the nation's governors and the President is one which targets the school dropout problem in the United States. According to the goal, by the year 2000...

(1) the high school graduation rate will increase to at least 90%.

(2) 75% of dropouts will successfully complete a high school degree or its equivalent.

(3) the gap in high school graduation rates between American students from minority backgrounds and their non-minority counterparts will be eliminated.

In order to accomplish Goal 2, several questions and issues need to be addressed. First, what should comprise a common definition for a "dropout?" Second, what accounting and measurement tools are needed to enable accurate intra- and interstate comparisons of dropout rates? Third, what action is presently being taken by the federal government to reduce the dropout rate? Four, what should be the federal role in achieving Goal 2? Finally, what do we know and what do we need to know about the causes of children leaving school before they graduate to develop successful prevention programs?

BACKGROUND

Until the mid-twentieth century, high school dropouts were as prevalent as graduates in the American labor force. American business and industry needed both skilled and unskilled laborers. In the last forty years, the need for an educated and skilled labor-force has increased greatly leaving few jobs for unskilled and under-educated citizens. When a person leaves school before graduating he or she is usually lacking the knowledge and skills to actively contribute to the fiscal well-being of society. Under-education has been associated with incarceration, drug abuse and unemployment. Rehabilitation programs and unemployment compensation are costly and growing everyday. One way to reduce the cost to society is to ensure that more students graduate from high school making them contributors to society and not detractors. Since the problem of school dropouts greatly affects the welfare of the entire nation, what role should the local educational agencies, state and federal government play in reducing the dropout rate?

LEGISLATIVE HISTORY

It is stated in The School Dropout Prevention and Basic Skills Improvement Act of 1990 (P.L. 101-600), that "in order for the Nation to regain its economic competitiveness, each child in the United States must be educated to his or her greatest potential and must be encouraged to finish secondary school."[1] The federal government clearly recognizes the need for action to address the enormous numbers of children who drop out of school and the economic drain these young adults place on the nation. The nation can no longer afford to pay for the high cost of dropouts.

Current school dropout prevention programs can trace their roots to the Elementary and Secondary Education Act of 1965 (ESEA, P.L. 89-10). It was through amendments to the ESEA in 1988 that the first federal funds were appropriated solely for dropout prevention programs. Earlier attempts at funding dropout prevention programs had been proposed but were never enacted.

An attempt to amend the ESEA to provide grants for local education agencies (LEAs) failed in 1985 (Dropout Prevention and Reentry Act of 1985, S. 1525). Subsequent legislation in 1987 (The School Dropout Retention and Recovery Act of 1987) and 1988 (Prekindergarten Early Dropout Intervention Act of 1988, S. 2034) failed to receive the necessary support to become law. The first successful piece of legislation related directly to dropouts, The Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments of 1988 (P.L. 100-297, H.R. 5), amended the ESEA of 1965 and was signed into law on April 28, 1988.

Within Chapter 1 of the Hawkins-Stafford Elementary and Secondary School Improvement Amendments are two provisions for school dropout prevention. The first is Title I, part C, Secondary School Programs for Basic Skills Improvement and Dropout Prevention and Reentry. The second is Title VI, part A, The School Dropout Demonstration Assistance Act of 1988.

The School Dropout Demonstration Assistance Act of 1988, (Title VI, Part A), was originally authorized as a two year program of competitive grants to states and localities. Fifty million dollars was authorized for FYs 1988 and 1989 with $23,935,000 funded in 1988 and $21,736,000 funded in 1989. In 1988, 89 grants were awarded totaling $45,671,000.[2] The Act was later extended by P.L. 101-250 (H.R. 2281) for FYs 1990 and 1991 with authorizations of $50 million for each of these years. Actual spending amounted to $19,994,000 in 1990 bringing the total funding for the first round of dropout prevention grants to $65,665,000.

In 1991, the National Dropout Prevention Act (P.L. 102-103, H.R. 2313) was passed amending the School Dropout Demonstration Act of 1988. This act allowed for a second round of grants (65 new grants) to both LEAs and community agencies for the purpose of reducing dropout rates. This act also extended authorizations through FY 1993, thus bringing the program into the same reauthorization cycle as the Hawkins-Stafford Elementary and Secondary School Improvements. Each year of authorization called for $50 million, but actual amounts have been less (see table 2.1). $34,064,000 was spent in 1991; anticipated spending for FY 1992 is $40 million dollars.

Title I, Part C

Title I, Part C, of the Hawkins-Stafford Elementary and Secondary School Improvement Amendments, the "Secondary School Programs for Basic Skills Improvement and Dropout Prevention and Reentry," called for a significant nationwide program of strengthening state and local school district accounting and reporting of school dropout rates, in addition to funding a broad array of dropout programs. The program was amended by the School Dropout Prevention and Basic Skills Improvement Act of 1990 (P.L. 101-600, H.R. 5140). The authorization of funds for Title I, part C included $400 million for FY 1990, $450 million for FY 1991, $500 million for FY 1992, and $550 million for FY 1993. Title I, Part C was authorized again as The School Dropout Prevention and Basic Skills Improvement Act of 1990 (P.L. 101-600, H.R. 5140) on November 16, 1990, and as of April, 1992, no appropriation of funds has taken place.

There are several key elements of the program.[3]

Grants would be awarded to LEAs that would "contain a plan that describes proposals for a program to increase the secondary school completion rate by no later than January 1, 2001, by a percentage equal to one-half the difference between 100 percent and the secondary school completion rate for individuals in the State aged 18-35, inclusive, as of January 1, 1990. (Sec. 1104 b)

All local school districts would be "required to submit plans to the States and the States to submit plans to the Secretary of Education describing how they plan to increase secondary school completion." (Sec. 1106 a and b)

Using information gathered in sections (a) and (b), the Secretary shall create a database containing information of successful dropout prevention programs and other pertinent information. This database should be easily accessible to all agencies, schools and organizations (Sec. 1106 c)

Table 2.1

Federal Dollars Spent for the Dropout Demonstration Assistance Program Fiscal Year 1988-1993 (in thousands of Dollars)

Fiscal Year Federal Budget	1988	1989	1990	1991	1992	1993
1993				34,064	*40,000	*38,200
1992			19,994	*34,064	*29,214	
1991		21,736	.....	*45,000		
1990	23,935	*21,736	.....			

* = estimate

Source: Federal Budget of the United States for the years indicated.

A five percent set-aside is for "replication and dissemination of successful school dropout programs" by LEAs (Sec. 1103 d(2)). LEAs would apply for a grant from the state agency. All districts in the country would be eligible for a grant.

A five percent set-aside for community based organizations with a priority for those establishing or operating secondary community education employment centers (Sec. 1103 d(1)). Grants would be awarded in the same manner as for LEAs.

Priorities would be given for those programs that would meet the needs of "inner-city, low income youths or rural youths" (Sec. 1103 d(1)(A)).

Each LEA or Community center shall provide a "comprehensive program of confidential guidance counseling; professional staff members who demonstrate the highest academic, teaching, guidance, or administrative standards, as appropriate; and active and informed parental and community participation" (Sec. 1103 d(1)(B)).

Title VI, Part A

The purpose of the Dropout Demonstration Assistance Act (Chapter 1, Title 6, Part A) of the Hawkins/Stafford Elementary and Secondary School Improvement Amendments is to "reduce the number of children who do not complete their elementary and secondary education by providing grants to LEA's to establish and demonstrate...

> effective programs to identify potential student dropouts and prevent them from dropping out;
>
> effective programs to identify and encourage children who have already dropped out to reenter school and complete their elementary and secondary education;
>
> effective early intervention programs designed to identify at-risk students in elementary and secondary schools; and
>
> model systems for collecting and reporting information to local school officials on the number, ages, and grade levels of the children not completing their elementary and secondary education and the reasons why such children have dropped out of school."[4]

In the report from the Committee on Education and Labor recommending extension of the program, it states that the one year extension (FY 1990) "will help to address the dire national problem of school dropouts."[5] The report continues that H.R. 2281 "continues the authority for a national dropout demonstration program in the event that funds are not appropriated for a much larger, State-administered program, the Secondary School Program for Basic Skills Improvement and Dropout Prevention, Part C of the Chapter 1 of the ESEA".[6] From the language in the report it is evident that the School Dropout Demonstration Act of 1988 is only a safeguard in case the larger, more comprehensive Secondary School Program for Basic Skills Improvement and Dropout Prevention is not funded.__Initially authorized in April of 1988, and re-authorized in 1990, four years have passed and still no funding has been appropriated for the $450,000,000 a year program. Over the same time period, Congress has funded, on a much smaller scale, affecting far fewer children, the Dropout Demonstration Assistance programs.

The following year The National Dropout Prevention Act of 1991 (H.R. 2313) was proposed to amend the School Dropout Demonstration Act of 1988 to extend authorization of appropriations through FY 1993. In the report recommending passage of H.R. 2313, the severity of the school dropout problem as well as the urgency to make progress toward the reduction of the number of dropouts are discussed. The problem is termed "formidable" as it is estimated that each year between 600,000 and 700,000 young adults between the ages of 14 and 24 drop out of school.[7] The report states that in 1991 approximately 4.3 million people between the ages of 14 and 24 are neither enrolled in school nor have their high school diploma or equivalent. The report also cites statistics from the Committee for Economic Development:

(1) every class of dropouts earns $237 billion less than an equivalent class of high school graduates during their lifetime;

(2) the government receives $70 billion less in tax revenues;

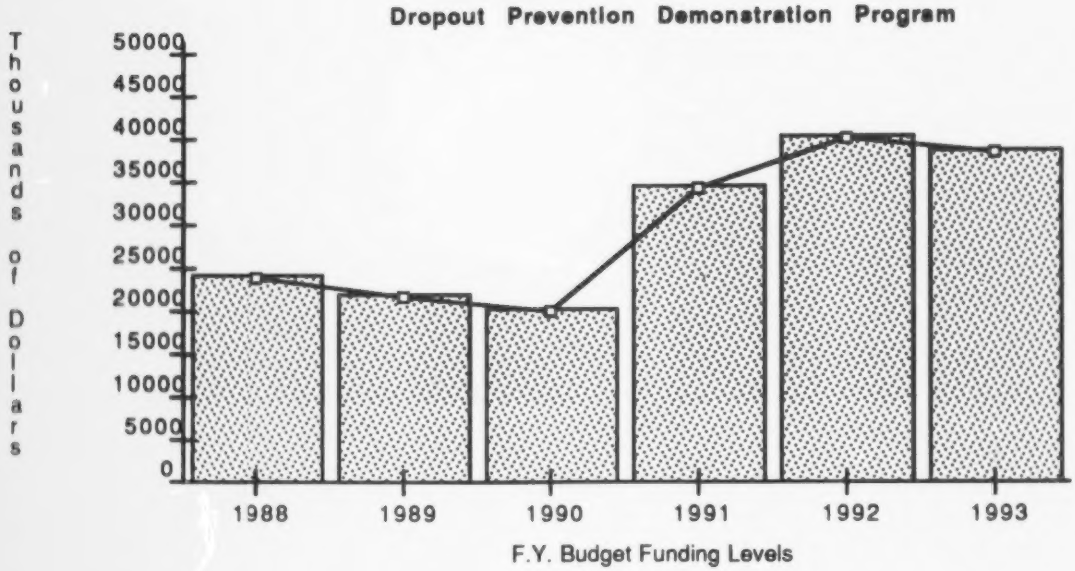
(3) 82% of all Americans in prison are high school dropouts; and

(4) it costs $20,000 to maintain each prisoner annually.[8]

In 1991, 65 new grants were awarded after the Dropout Demonstration program was re-authorized for three additional years (FY 1991, 1992, 1993). By passing legislation and appropriating funds for the program, the federal government appeared to admit that the cost to the nation is too great to allow the problem to continue without any federal assistance. With the advent of the National Goals, will the federal government commit itself to increasing their effort to reduce the national dropout rate?

Noting the dramatic increase in funding for the Dropout Demonstration Assistance program (see figure 2.1), the question arises as to why the federal government increased its financial

FIGURE 2.1



FY 1992 and FY 1993 are estimated according to the Federal Budget.

Source: figures in table 2.1.

contribution to reducing dropouts in 1991? According to an official in the United States Department of Education, the increase in funding can be "directly attributable to Goal 2."[9]

ANALYSIS

The federal government has authorized two separate programs that aim to reduce the dropout rate. One has been funded, the other has not. Do these programs overlap in their goals and strategies? Should both programs--The School Dropout Prevention and Basic Skills Improvement Act and The Dropout Demonstration Assistance Act --be funded, or, as has been the case, could one be substituted for the other?

It is the recommendation of the U.S. Department of Education that the School Dropout Prevention and Basic Skills Improvement program not be funded.[10] The reasons given for the recommendation not to fund The School Dropout Prevention and Basic Skills Improvement Act of 1990 are varied. One Department of Education official stated that both programs are "essentially the same thing."[11] Another official said the primary reason for not funding the program was lack of funds, but also stated how the preliminary evaluation study (not yet released to the public) of the first round of school dropout demonstration programs was not conclusive as to just what were the effective elements of a prevention program.[12] Fiegel discussed the difficulty of evaluating these types of programs. The students affected by the dropout prevention programs are usually the same students who are "receiving a broad array of services...[o]urs is only one [service] affecting them."[13] He continued that the second round of evaluation studies are a "better designed evaluation" and hopes that they will yield more sufficient data.

Are the two programs essentially the same thing? Both aim to help those in the poorest areas as does the compensatory education program. Both aim at addressing the needs of the young, well before the actual age that they drop out. Both address many of the same issues dealt with in Goal 1 (school preparedness), Goal 5 (illiteracy) and Goal 6 (drug free schools). Each of these other issues is tied closely to the reasons a child will drop out of school. But while the programs appear to be similar, the number of children that could be helped and the amount of valuable information shared across the nation is significantly greater under P.L. 101-600 than under the school dropout demonstration programs. P.L. 101-600, The School Dropout Prevention and Basic Skills Improvement Act of 1990, requires eight times the dollar amount ($400 million as opposed to $50 million for FY 1990). The School Dropout Demonstration Assistance Act of 1988 does not advocate a national dissemination program for successful programs; does not provide the opportunity for the Secretary to collect standardized data from states; and does not allow nearly as many LEAs access to grants for setting up dropout prevention programs.

The original author of the School Dropout Demonstration Assistance Act, P.L. 100-297, makes the case that Congress must take "a bolder step and begin to think in more global terms."[14] He states that while the School Dropout Demonstration Assistance program has been "very popular, the program barely touches the tip of the iceberg in terms of the needs of the country."[15] He calls for a "comprehensive, more sizeable approach to the dropout problem."[16] Whether Rep. Hayes' statement is in reference to P.L. 101-600 is unclear. What can be deduced from his supplement to the Report is his opinion that the demonstration programs as funded are dreadfully inadequate. More radical action is needed to adequately address the staggering problem of school dropouts. Clearly, the federal government is playing a role in trying to reduce the dropout rate, but is the federal government doing enough? Are the programs established by the government addressing the needs of the children? Is sufficient money being spent by the government on prevention programs? Are the programs cost-effective?

Although much has been researched and written about school dropouts, to this date no definitive cause and effect relationship has been identified. Many have identified factors that may be correlated with a student dropping out. Academic failure and truancy are often associated with dropouts but most agree that these are the symptoms, not the causal problems themselves.[17]

The literature surrounding dropouts focuses on three issues: predictors, strategies, and costs. Predictors are those commonalities relating to the majority of dropouts. Strategies are elements of successful prevention programs that help to limit the number of dropouts. Costs/Benefits are those direct costs associated with operating a program as well as the financial benefits to both the individual and society.

Predictors

Statistics reported in the last several years reveal the following trends:

(1) Males are slightly more apt to drop out than females;

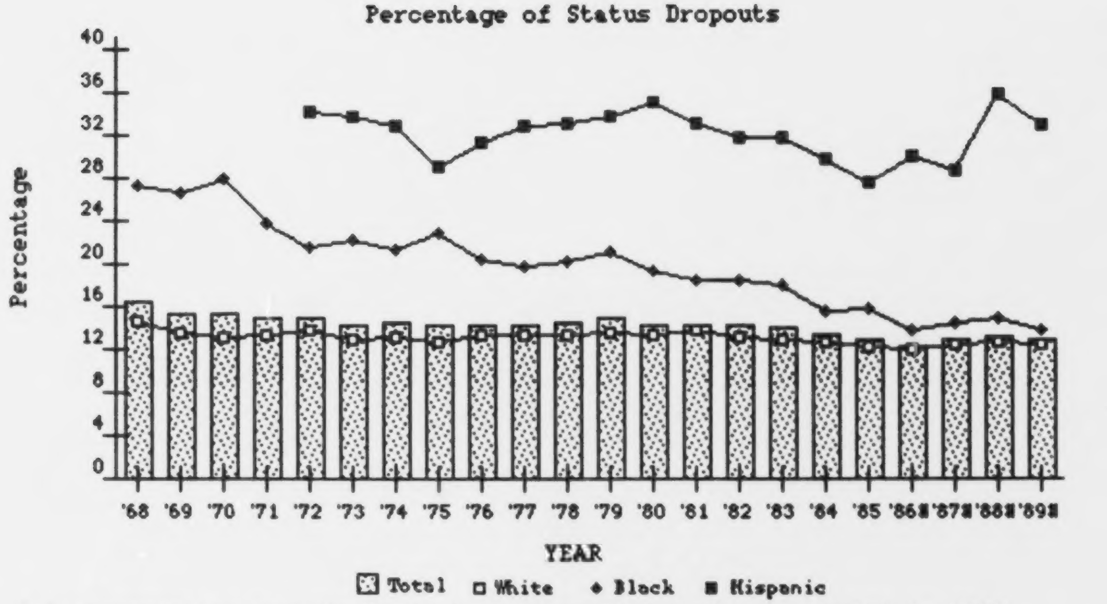
(2) Minorities have a higher dropout rate than Whites;

(3) The gap between White and Black dropout rates has nearly disappeared in the last several years; (see figure 2.2)

(4) The gap between White and Hispanic rates has remained wide;

(5) The dropout rate for Whites and Latinos has remained essentially unchanged;

Figure 2.2



# = Accounts for new statistical measurement techniques started in 1986.
Source: National Council for Education Statistics, Dropout Rates in the United States: 1989.

(6) The rate for Blacks has decreased steadily;

(7) When controlled for family background, Whites are more likely to dropout than Blacks;

(8) The dropout problem has spread to middle class suburbs.[18]

Recent research shows that the traditional profile of the typical dropout (poor, urban, minority) is becoming blurred. In 1983, Rumberger called "social class" the most reliable predictor in forecasting dropouts while Fettler stressed the high correlation between AFDC percentage and children leaving school in 1989.[19] In 1991, LeCompte and Dworkin refer to the "gentrification" of the dropout as more students from the middle class, suburban school drop out.[20] They believe the term at-risk is no longer useful in describing the dropout problem."[21]

(1) It is estimated that between 18 and 25% of dropouts are gifted and talented;[22]

(2) In 1983/84 25% of the dropouts scored above the 75th percentile on standardized exams.[23]

With the changing demographics of the dropout population, a broader array of prevention programs will become necessary. The problem, although still significant in the traditional areas, has spread to the suburban middle class. New prevention programs must address those traditional "at-risk" students as well as those who do not fit the traditional mold. This will require more programs and more programs will require greater funding.

Common Definitions and Measurement Tools

Acknowledging the serious problem of school dropouts, the Council of Chief State School Officers (CCSSO) adopted in 1987 the goal of high school graduation for virtually all students by the year 2000. Acting as a precursor to the National Goals, which include a desire for standardized definitions and measurement tools, the CCSSO attempted to define "dropouts:"--A dropout is a student who for any reason other that death leaves school before graduation without transferring to another school/institution. Questions were raised about whether to include/exclude those students in juvenile and mental institutions, those above the compulsory attendance age, suspended (expelled) students, or those students participating in a General Education Development (GED) program.

Currently, with the encouragement and support of the CCSSO, the National Center for Education Statistics (NCES) is partaking in an effort to standardize the definition of a dropout and formulation of an accurate rate. While there is much work to be done, NCES and CCSSO are working jointly with the support of the

National Goals Panel to develop common definitions and methods for calculating rates. NCES started in 1988 to try and describe three definitional types of dropouts: event dropout, status dropout, and cohort dropout.[24] Although repeated calls for standardization have gone unheeded,[25] it is hoped that with the creation of the National Goals, standardization procedures can and will be adopted nationwide.

Recently the National Goals Panel unanimously approved the recommendation for a voluntary state/local student record system (VS/LSRS) to help establish...

- "the collection of accurate and comparable data on student completers and dropouts at the state level;
- the ability to describe the experiences of students as they move through school; and
- improvement of the quality of decision making at the national, state, district and school level through an enhanced information-processing capacity."[26]

This voluntary system will help to standardize and nationalize information relevant to those working against the dropout problem. The Panel hopes to have more accurate statistics by the year 1994.

Academic failure has long been thought of as a key predictor of dropping out. Stephens and Repa, studying a prison population, and Velez and Fernandez, analyzing the results of a major study on Latino dropouts, both concur that academic failure is an indicator.[27] However Stephenson and Repa do not view academic failure as a direct cause of dropping out, but rather a symptom of deeper problems. Velez and Fernandez found that higher academic achievement, even when controlled for background variables, resulted in a lower dropout rate among Latinos; hence, lower achievement and failure result in higher dropout rates, regardless of the student's background.

Grade retention is another predictor that has been frequently examined and correlated with dropping out.[28] Cippolone describes grade retention as possibly the "most important predictor of dropping out."[29] Elmore calculates that a single grade retention increases the chances of an individual dropping out by 50% and being retained twice increases the chances 100%.[30] Three quarters of Latino dropouts who have been held back a year in school end up dropping out.[31]

While class size does not seem to be a significant factor, school size is a strong predictor in the dropout rate.[32] Pittman and Haughwout state that for every increase in 400 students in a school, the dropout rate for that school increases by roughly 1%.[33] While stopping short of stating that larger schools directly cause more students to drop out, they do conclude that the social environment of the school is a direct factor on the dropout rate.[34] They found that "[l]arger student bodies appear to produce a less positive social environment, less social integration, and less identity with the school."[35] Each of these, they conclude, leads to a higher dropout rate. Similarly, Stephenson and Ellsworth state that although many dropouts share commonalities of academic failure and truancy, these are only symptoms of the dropout problem and not direct causes. It is the response of the school, or its lack of response, to students' problems that compounds the problems of the children and leads to dropping out.[36] Intuitively, the larger the high school the less responsive the school will be to each student's problems.

Other predictors for dropouts, identified by Rumberger, are the level of parental education--the fathers' educational achievement greatly affects the male students' dropout rate while the mothers' educational achievement affects the female rate; teen pregnancy--affects female dropout rates significantly more than males; and the cultural index--amount of reading material in home is correlated with chances of dropping out.[37]

STRATEGIES

Researchers have established a number of successful strategies employed in many programs for reducing the dropout rate. The Urban Superintendents Network has identified six strategies they deem necessary for successful prevention programs:

(1) Early intervention,

(2) Positive school environment,

(3) High expectations,

(4) Quality teachers,

(5) Broad instructional program, and a

(6) Collaborative community effort.[38]

Research supports these six strategies as well as identifying several more.

It is widely agreed that while students generally drop out at the age of 16-17, the roots of dropping out are started at a much younger age. For this reason early intervention activities are critical to any effort at reducing the dropout rate in the high school years.[39] Taylor and Piche report six strategies of their own from a study of what educators themselves believe would best help the dropout problem. Expanding and improving preschool coupled with implementing intensive reading programs in the early grades are two of their strategies that address early intervention.[40] Other strategies advocated by educators are reduced class size, provisions for intensive counseling services, teachers with experience and expertise, and a rich curriculum.[41]

Pittman and Haughwout speak to the importance of the school social environment in relationship to the number of dropouts.[42] Also advocating a positive school environment is Fettler who stresses the importance of "general school effectiveness:"

> One can speculate that effective leadership, positive school climate, and reasonable expectations for all students could enhance the effects of specific dropout treatment programs. The results of this study illuminate the possibility that general school effectiveness techniques can be used to ameliorate dropout rates even in a reform environment.[43]

In Clemson, South Carolina, the National Dropout Prevention Center operates a national database with information on programs. After reviewing current research and 350 prevention programs in their database, the center developed a list of twelve strategies found in all or most successful programs. These strategies include:

(1) Parental assistance and involvement

(2) Quality early childhood education

(3) Concentrated reading and writing programs

(4) Individualized instruction

(5) Utilization of instructional technologies

(6) Mentoring and tutoring

(7) Workforce readiness and career counseling

(8) Summer enhancement programs

(9) Flexible schedules and alternative programs

(10) Staff development programs

(11) School-based management

(12) Community and business collaboration[44]

A central motivation for the database is to share information about successful programs with others across the country trying to develop their own prevention program. In times of very limited resources, no one can afford to reinvent the wheel. Replication of already successful programs is encouraged by both the Dropout Prevention Center and the federal government.

However, Rumberger (1987) and Sters et al. warn against homogenizing dropout prevention programs. Each locality has its own characteristics and demographics and so it is "risky" to replicate successful programs; "Success cannot be taken for granted."[45] Adapting the general strategies to the individual needs of the particular population is necessary to increase the chances of the prevention program being successful.

COSTS/BENEFITS

In 1962, Milton Freedman spoke of the financial benefit to society, or the "neighborhood effect," resulting from the successful schooling of children.[46] Using the same line of reasoning, it is simple to deduce that under-educating children will create a financial drain on society. In 1972, Henry Levin discussed the costs to the Nation resulting from the unsuccessful operation of the schools.[47] At the same time he estimated that for every dollar spent on social programs related to dropout prevention, $6 would be produced in national income and $2 in increased tax revenue.[48] In 1989, Levin described four "costs" of not funding at-risk programs for American society:

(1) Creation of a dual class society;

(2) Disruption of higher education;

(3) Reduced national and state economic competitiveness;

(4) Higher public service costs associated with poverty and crime.[49]

Levin concludes that the economic benefits of investing in compensatory and dropout prevention programs will "be well in excess of their costs."[50] It is estimated that it may cost an additional $25 billion a year to fully fund these type programs, but the annual cost of dropouts is three times as much:

(1) $71 billion in lost tax revenue;

(2) $3 billion in increased welfare and unemployment costs;

(3) $3 billion in crime related costs.[51]

Critics argue that the cost of compensatory and preventative programs is increasing so rapidly that adequate funding is prohibitive. But while the costs are increasing, so is the earnings differential between dropouts and graduates, deemed so critical by Rumberger[52]. A California program of schools within schools receives its state funding contingent upon student retention in the program, because graduating from high school, unlike grades, attendance, course failure, credits earned, "has evident economic value, since it is well known that high school graduates generally do better than dropouts in the labor market."[53] The California study concluded that 327 students were retained in school that otherwise would have likely dropped out. The net economic benefit for these students is between $1.0 and $1.3 million in 1987-88 dollars.[54]

ALTERNATIVES

The federal government has several options in responding to the National Goal 2 and the national dropout problem. These include:

(1) Letting the present funding for the School Dropout Demonstration programs run out at the end of FY 1993 and hope that state, local and private agencies step up their efforts in addressing the dropout issue.

(2) Once again extending the School Dropout Demonstration programs with appropriations of $50 million a year starting in FY 1994 or to increase the appropriations to allow more agencies the opportunity to receive a grant (allow more children to reap the benefits of these programs).

(3) Finally deciding to fund the larger, more comprehensive School Dropout Prevention and Basic Skills Improvement Act, which also mandates a national accounting system for dropouts.

(4) Design a new bill using the evaluation information from the second round of dropout demonstration programs expected to be released this summer (1992) as well as the recommendations from the present literature on dropouts.

RECOMMENDATIONS

After reviewing the legislative history surrounding the extensions of the School Dropout Demonstration Acts and the Dropout Prevention and Basic Skills Improvement Act, it is clear that the issue of dropouts is being taken seriously by some in the federal government. In addition, the nation's governors in conjunction with the President have proposed National Goal 2 in an attempt to lead the improvement toward an increased graduation rate for all citizens. But just what should be the role of the federal government is a question to be answered. Twice Congress has passed the large, albeit expensive, Secondary School Program for Basic Skills Improvement and Dropout Prevention and as of March, 1992, not a single penny has been spent on the program. The author of the original School Dropout Demonstration Assistance Act (funded at an average of less than $29 million a year) has gone on record stating the urgent need for initiating a significantly larger program to truly address the dropout problem.

Some federal money is being spent on attempts to reduce the dropout rate. As of 1992, only 153 grants totaling $139,729,000 have been awarded by the federal government to LEAs or community agencies in hopes of reducing the dropout rate (average grant = $913,000 over a three-year period). Although some are waiting for the long overdue evaluation study, done by the Department of Education, of the Dropout Demonstration Assistance programs, much is already known about what prevention programs should include.

Research has...

(1) detailed the tremendous costs and negative effects dropouts have on society;

(2) identified those most at-risk of dropping out;

(3) determined effective strategies for dropout prevention programs; and

(4) shown that some programs are successful at reducing the dropout rate.[55]

More dropout prevention programs need to be created and funded and this will cost money. Whether the federal government chooses to increase funding for the present program, initiate funding for the other, or create a new program altogether, the bottom line is that additional funds need to be spent on preventative programs. The present programs, in the words of Rep. Hayes, only "touch the tip of the iceberg."[56] No longer is the dropout problem an issue solely for the urban ghettos. The plague is spreading and the cost is mounting. Preventative programs have clearly been proven to be cost-effective in the long term.

Federal money does matter. Given the economic status of most states, new federal money is critical. Federal money buys programs which, if based on the findings in the literature, can be successful in reducing the dropout rate and achieving the National Education Goal 2.

NOTES

1. P.L. 101-600, School Dropout Prevention and Basic Skills Improvement Act of 1990, Sec. 2(a)2.

2. Audry Pendleton, Program Analyst in charge of Planning and Evaluation, U.S. Department of Education, communication with author 30 March 1992.

3. All references concerning the dropout prevention and basic skills improvements will be from the amended version (P.L. 101-600, H.R. 5140).

4. P.L. 100-297, Hawkins/Stafford Elementary and Secondary School Improvement Amendments, Sec. 6002.

5. U.S. House of Representatives, Committee on Education and Labor, School Dropout Programs, 101st Cong., 1st sess., Report 101-82, 2.

6. Ibid.

7. U.S. House of Representatives, Committee on Education and Labor, School Dropout Demonstration Amendments, 102d Cong., 1st sess., Report 102-77, 2.

8. Committee for Economic Development, The Unfinished Agenda: A New Vision For Child Development and Education, in Ibid.

9. Ibid., 3.

10. John Fiegel, Senior Program Specialist for National Programs, U.S. Department of Education, communication with author, 3 April 1992.

11. Audry Pendleton, Communication with author.

12. John Fiegel, Communication with author.

13. Ibid.

14. Charles A. Hayes, Supplemental Views of Representative Charles A. Hayes on H.R. 3213, Report 102-77, 9.

15. Ibid.

16. Ibid.

17. Russell W. Rumberger, "Dropping out of High School: The Influence of Race, Sex, and Family Background," American Educational Research Journal 20 (1983): 199-220; Robert B. Stevenson, and Jeanne Ellsworth, "Dropping Out in a Working Class

High School: Adolescent Voices on the Decision to Leave," British Journal of Sociology of Education 12, no.3 (1991): 277-291.

18. National Center for Education Statistics, Dropout Rates in the United States: 1989 (Washington: U.S. Government Printing Office, 1990), Table A5; Russell W. Rumberger, "Dropping Out of High School~~.~~"

19. Russell W. Rumberger, "Dropping Out of High School"; Mark Fettler, "School Dropout Rates, Academic Performance, Size, and Poverty: Correlates to Educational Reform," Educational Evaluation and Policy Analysis 11, no. 2: (1989) 109-116.

20. Margaret D. LeCompte, and Anthony G. Dworkin, Giving Up on School: Student Dropouts and Teacher Burnout (Newbury Park, CA; Corwin, 1991), 46, 49.

21. Ibid., 54.

22. Elsie Robertson, "Neglected Dropouts: The Gifted and Talented," Equity and Excellence 25, no. 1 (1992): 62-74.

23. Margaret D. LeCompte and Anthony G. Dworkin, Giving Up on School, 49.

24. Barbara S.Clements, "What is a Dropout? Pilot Program Collects Meaningful Data for Improving Schools," Equity and Excellence 25, no. 1 (1992):6.

25. In addition to the work of CCSSO and NCES, H.R.5 was passed by the House in May of 1987 and later became the Hawkins-Stafford Elementary and Secondary School Improvement Amendments to the Elementary and Secondary Education Act of 1965. This act called for the development of national indicators of dropout and retention rates and the standardization of definitions.

26. National Education Goals Panel, Resolution on Assessing Progress Toward Goal 2 (Washington D.C., 27 March 1992).

27. Robert T. Stephens, and J. Theodore Repa, "Dropping Out and its Ultimate Consequence: A Study of Dropouts in Prison," Urban Education 26, no. 4 (1992): 401-422; William Velez and Ricardo R. Fernandez, "The ASPIRA Association School Retention Study," Equity and Excellence 25, no. 1 (1992): 55-61.

28. Michelle Fine, "Why Urban Adolescents Drop Into and Out of Public High School," Teachers College Record 87 (1986): 393-409; "Dropping Out of High School,"; William Velex and Ricardo R. Fernandez ,"The ASPIRA Association."

29. Joseph Cippolone in LeCompte and Dworkin, Giving Up on School, 49.

30. Leonard Elmore in Margaret D. LeCompte and Anthony G. Dworkin, Giving Up on School, 49.

31. William Velez and Ricardo R. Fernadez, "The ASPIRA Association."

32. Mark Fettler, "School Dropout Rates."

33. Robert B. Pittman and Perri Haughwout, "Influence of High School Size on Dropout Rate," Educational Evaluation and Policy Analysis 9, no. 4 (1987): 343.

34. Ibid.

35. Ibid., 343.

36. Robert B. Stevenson, and Jeanne Ellsworth, "Dropping Out in a Working Class High School."

37. Russell W. Rumberger, "Dropping out of High School."

38. Office of Educational Research and Improvement, Urban Superintendents Network, Dealing With Dropouts (Washington D.C. U.S. Government Printing Office, 1987).

39. Henry Levin, Cost-effectiveness: A Primer (Beverly Hills; Sage, 1983); Russell W. Rumberger, "Dropping out of High School."

40. William L. Taylor, and Diane M. Piche, A Report on Short Changing Children: The Impact of Fiscal Inequity on the Education of Students at Risk, for the Committee on Education and Labor, U.S. House of Representatives, 102d Congress, 1st session, Dec. 1991.

41. Ibid.

42. Robert B. Pittman and Perri Haughwout, "Influence of High School Size."

43. Mark Fettler, "School Dropout Rates," 115.

44. Marty Duckenfield, John V. Hamby, Jay Smink, Effective Strategies For Dropout Prevention: Twelve Successful Strategies to Consider in a Comprehensive Dropout Prevention Program, (Clemson, SC: The National Dropout Prevention Center, September 1990).

45. David Stern, Charles Dayton, Il-Woo Paik, and Alan Weisberg, "Benefits and Costs of Dropout Prevention in a High School Program Combining Academic and Vocational Education," Educational Evaluation and Policy Analysis 11, no. 4 (1989): 415.

46. Milton Freedman, Capitalism and Freedom (Chicago: University of Chicago, 1962), ch. 6.

47. Henry M. Levin, The Costs to the Nation of Inadequate Education, [Study prepared for the Select Committee on Equal Educational Opportunity, U.S. Senate] (Washington D.C.: U.S. Government Printing Office, 1972).

48. Ibid., 30.

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51. Ibid.

52. Russell W. Rumberger, "High School Dropouts: A Review of the Evidence," Review of Education Research 57, No. 2 (1987): 115.

53. Teresa S. Lyons, and K. Forbis Jordan, "Development of Expenditure Indices for Programs to Serve At-Risk Youth," Journal of Education Finance 16 (Spring 1991): 431.

54. David Stern et al., "Benefits and Costs of Dropout Prevention."

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CHAPTER 3 - GOAL 3

-Lester Zook

ISSUE DEFINITION

> By the year 2000, American students will leave grades four, eight, and twelve having demonstrated competency in challenging subject matter including English, mathematics, science, history and geography; and every school in America will ensure that all students learn to use their minds well, so they may be prepared for responsible citizenship, further learning, and productive employment in our modern economy.

This, the third National Education Goal, probably comes closer than any to addressing the fundamental mission of schools--to teach effectively and to make learning happen. The federal government has always supported elementary and secondary instruction, but the invitation to restructure for achievement and the provision of money to encourage improvement and change signal a new and deeper interest.

One of the primary vehicles for federal support of local education efforts since 1981 has been the Chapter 2 program of the Education Consolidation and Improvement Act [P. L. 97-35]. This Act provides block grants to states to develop and enhance their individual instructional programs. Several key questions related to the Block grant include:

(1) How can Chapter 2 interface with National Education Goal 3?

(2) Have local education efforts improved as a result of Chapter 2 funding provisions?

(3) Where does the locus of decision-making reside regarding Chapter 2 funds?

(4) What direction is the federal commitment to education through Chapter 2 taking? (Is it increasing or decreasing, and is this positive or negative?)

BACKGROUND AND ANALYSIS

The Legislative History of Chapter 2

The federal government's interest in enhancing and improving school instruction at the elementary and secondary levels dates back to 1965. On the 11th of April, 1965, President Johnson signed P. L. 89-10--the Elementary and Secondary Education Act (ESEA). The first five titles were considered the backbone of the Act. Title I made 1.06 billion dollars available to states to be allotted to school districts with large numbers of children from families with incomes under $2,000.00 or on relief. Title II began a five year program of grants to states for the purchase of books for elementary and secondary school libraries. Title III initiated a five-year program of grants for supplementary community-wide education centers to provide services that individual schools could not make available. This 100 million dollar first year authorization also included provisions for the establishment of model schools. Title IV provided grants for improving educational research and training research personnel. Finally, Title V provided 10 million dollars to strengthen state departments of education, and develop experimental projects or special services to solve common local problems. This Act was the first large-scale infusion of federal money in public education and was a manifestation of the emphasis given to social and domestic welfare issues that typified the Johnson era.

By the late 1970s, the political climate was changing and so was the nation's budget situation, to some degree. The more conservative approach of "less government--more private enterprise" was filtering into thinking about schools. The Reagan Administration attempted to remove some of the restrictions on use of funds by simply suggesting educational block grants to states. This approach failed as amendments to the Family Protection Act, but federal deficit realities allowed its passage as part of a budget reconciliation package--the Omnibus Education Reconciliation Act of 1981. The Education Improvement and Consolidation Act [P. L. 97-35] cleared out much of the federal directive regarding how money could be spent. Specifically Chapter 2 attempted to coalesce the program authorizations contained in:

(1) Titles II, III, IV, V, VI, VIII, and IX (except Part C) of the ESEA of 1965

(2) The Alcohol and Drug Abuse Education Act

(3) Part A and section 532 of Title V of the Higher Education Act of 1965

(4) the Follow Through Act (on a phased basis)

(5) Section 3(a)(1) of the National Science Foundation Act of 1950 relating to precollege science teacher training.

(6) The Career Education Incentive Act.[1]

These were combined into a single authorization of grants to states, to be used in accordance with educational needs and priorities of state and local education agencies (LEAs) to improve elementary and secondary education.

Based upon the number of students within each state, Chapter 2 was to provide block grants to state departments of education. Up to 20% of the grant could be retained by the state department for the administration of the program and for technical assistance. Studies early on in the program suggested that nearly all of the states (90%) chose to retain the maximum 20 for departmental activities.[2] The remaining 80% was to be distributed among LEAs according to a formula devised by the state's department of education. Distribution could be simply enrollment-based, or could be used to target specific educational needs or clients, (i.e., computer literacy, limited English proficiency, low income, library enhancement, desegregation, handicapped). The law grouped authorized activities into three subchapters:

(1) Basic Skills Development included programs designed to improve instruction in reading, mathematics, and written and oral communication. This hailed from Title II of the ESEA of 1965.

(2) Educational Improvement and Support Services referred to a broad range of arrangements and partnerships with other public and private agencies to enhance student achievements. Specific activities could include acquisition and utilization of instructional equipment and materials, programs to improve local practice and address specific problems, minority concerns, guidance counseling and testing, management and planning and teacher training.

(3) Special Projects drew in Titles III, XIII and IX of the ESEA, and included such options as teaching of metric weights and measures, emphasis on the arts, consumer education, in-school and preschool partnership programs with parents, career education, environmental education, and academic and vocational preparation of youth offenders and juvenile delinquents.[3]

An advisory committee appointed by each governor was to assist in devising the formula and overseeing the distribution. Financial outlays were to be made on an annual basis, state by state and through application to the U.S. Department of Education.

In 1988, the Augustus F. Hawkins - Robert T. Stafford Elementary and Secondary School Improvement Amendment [P. L. 100-297] refined the authorized activities of the ECIA into six essential activities. This was done in an effort to target money more effectively. Early research and congressional opinion suggested that Chapter 2 funding was "unfocused." The resulting six targeted assistance programs were:

(1) Programs to meet the educational needs of students at risk of failure in school and of dropping out, and students for whom providing an education entails higher than average costs.

(2) Programs for the acquisition and use of instructional and educational materials, including library books, reference materials, computer software and hardware for instructional use, and other curricular materials that would be used to improve the quality of instruction.

(3) Innovative programs designed to carry out schoolwide improvements, including the effective schools program.

(4) Programs of training and professional development to enhance the knowledge and skills of educational personnel, including teachers, librarians, school counselors and other pupil services personnel and administrators and school board members.

(5) Programs designed to enhance personal excellence of students and student achievement, including instruction in ethics, performing and creative arts, humanities, activities in physical fitness and comprehensive health education, and participation in community services projects.

(6) Other innovative projects which would enhance the educational program and climate of the school including programs for gifted and talented students, technology education programs, early childhood education programs, community education and programs for youth suicide prevention.[4]

This rendered the funding program more technically, a "formula grant" than a "block grant," though the six areas were admittedly broad. School districts could allocate all funds to one program or divide the funds among several. The title of the 1965 law--the Elementary and Secondary Education Act--was revived, and in 1991, Sec. 302 of the National Literacy Act [P. L. 102-73] added a seventh targeted assistance area for Chapter 2 funds: training programs to enhance the ability of teachers and school counselors to identify, particularly in the early grades, students who may be at risk of illiteracy in their adult years.

The Interplay of the National Education Goals with Chapter 2

In October of 1982, P. L. 97-313 added Citizenship Education to the list of educational activities approved to receive Chapter 2 funds.[5] Now in 1992, this might be seen as a singular foreshadowing of the third National Education Goal--"...Every school in America will ensure that all students learn to use their minds well, so that they may be prepared for responsible citizenship..." This theme is reinforced in several of the concomitant objectives of Goal 3, specifically: "students will be involved in activities that promote and demonstrate good citizenship..." and "all students will be knowledgeable about the diverse cultural heritage of this nation and about world communities." The wording of the authorized activities under Chapter 2 intersects in several other interesting areas with the specific objectives of Goal 3:

(1) Chapter 2 allows funds for instruction of children who know limited English; the fourth objective of Goal 3 suggests that the percentage of students competent in more than one language must substantially increase.

(2) Chapter 2 allows funding for school desegregation efforts; the fifth objective of Goal 3 suggests that American students must be made knowledgeable about the "diverse cultural heritage of this nation."

(3) Chapter 2, Sec. 573 (3) provides for "procedures for testing students and for evaluation of the effectiveness of programs for maintaining a continuity of effort for individual children;" Goal 3 calls for students to "demonstrate competency in challenging subject matter," and the first and second objectives call for academic performance to improve, and for the percentage of students who demonstrate the ability to reason, solve problems, apply knowledge, and write and communicate effectively to increase substantially.

The real question here, however, is whether the states and LEAs, who are spending the money and developing the programs, are building Goal 3 into their efforts. It appears that they are, as evidenced by both the work of the nation's governors and by a more grass-roots effort among local schools.

The report, Educating America: State Strategies for Achieving the National Education Goals, attempts to identify practical local steps toward achieving the National Goals. Strategies are grouped under seven main headings:

(1) Set high expectations for students performance.

(2) Hold schools accountable for each student's learning.

(3) Decentralize authority and give school staff the tools and flexibility they need.

(4) Overhaul instruction and leadership.

(5) Expand the range of choices and options for parents and students.

(6) Remove preventable barriers (i.e., health concerns, drugs, and alcohol abuse, etc).[6]

In a more interesting glimpse into how Chapter 2 funds are actually being used, representatives of twenty-five states presented a panorama of exhibits of programs that Chapter 2 funds had made possible. Held in February of 1992, this display showcased programs ranging from professional development and training (Alabama) to media-rich environments (Indiana), and from a consortium project pooling the funds of several small non-public schools (New York) to the development of a salmon hatchery as a base for environmental study and research (Washington). More pertinent to the issue at hand is the fact that all but four of the states represented suggested that the primary goal they were attempting to achieve was Goal 3.[7]

The Improvement of Education Under Chapter 2

Perhaps the most provocative issue raised by the federal formula grant approach is whether this type of funding actually improves local educational practice. This question can be addressed on several fronts: are there certain changes in program attributable primarily to the availability of Chapter 2 funds, what are those changes, and have they rendered education more effective?

Research suggests that one major change attributable primarily to Chapter 2 funds was a large scale move toward computer purchases.[8] Seventy-two percent of the school districts receiving Chapter 2 funds in the 1984-1985 school year purchased computer hardware or software. In a study by the American Association of School Administrators (AASA), eighty-eight percent of the districts surveyed were found to be spending money under SEA Title IV-B, Instructional Materials and Library Resources.[9] Furthermore, Knapp's study suggests that effectiveness has been enhanced to some degree because "computers are being used, levels of excitement about computers among student and staff are high, and computer hardware and software are being used mostly for instruction in basic academic areas."[10] There is evidence, however, that the excitement of having new equipment may create an illusion of major change. The fact is that the actual dollars provided for each school allowed the purchase of a handful of computers at best. In addition, what Knapp refers to as the obvious "flush of enthusiasm for computers during data collection" is now being tempered with some hard-nosed skepticism about their potential contribution to education.

> During site visits we encountered examples of computers being used in ways that had little to do with educational improvement; for example, a school in one district where students were allowed to "play with" the computers if they behaved well during academic instruction.[11]

A second major area of investment for Chapter 2 funds has been into curriculum development, staff development, or both. Efforts range from completing a magnet school project to expanding computer education.[12] Not quite a third of the nation's school districts use Chapter 2 money in this way, compared to twelve percent under programs antecedent to 1981. The quality of these efforts, however, is difficult to assess, according to Knapp. By the time the block grant has filtered down to an individual district, the money invested in curriculum work is modest: From a median of $59,714 per year in the biggest districts to $1,555 in the smallest.[13] This yields at best "one or a few summertime curricular revision projects of several week's duration in one subject area for a particular grade."[14]

The growing consensus, looking at equipment purchases, curricular improvement, and other areas such as staff development and school wide coordination and planning is that formula grant funding has been "too little spread too thinly." Apling and Padilla illustrate that Chapter 2 money has provided a modest contribution at best to the overall per-pupil expenditures, ranging from $9.19 per pupil in very large urban districts to $6.85 per pupil in medium-sized districts.[15] This leads Knapp to conclude that the block grant appears to have traded "depth of impact for breadth," and therefore the long term usefulness of this policy must be questioned.[16]

The Locus of Decision Making Regarding Chapter 2

The essential thrust of Chapter 2 is to transfer control of education from the federal government to the local level.

> It is the intent of Congress . . . that the responsibility for the design and implementation of programs assisted under this Chapter shall be mainly that of local education agencies, school superintendents and principals, and classroom teachers and supporting personnel, because they have the most direct contact with students and are most directly responsible to parents."[17]

Henderson, however, identifies another issue that this approach has raised. Has a transfer of control from one set of officials to another (federal to state and local) produced a greater responsiveness to parent and citizen concerns?

> "While Congress clearly intended to move decisions about educational policy closer to local communities, it did not choose to grant a larger role in making decisions to parents and citizens of those communities."[18]

The assumption underlying the block grant approach, and in fact the conservative philosophy as a whole, is that control is best executed when it is diffused, and government is most effective when it is highly locally responsive and minimally intrusive or oppressive. The rhetoric, therefore, of shifting decision-making about education to the local level carries a lot of political appeal. What has occurred, however, is something different from the rhetoric implied. Delegation of funds, development of state formulas and identification of education need areas have been shifted simply from federal departments to state officials--the constituency (principals, teachers, parents and students) continue to be held at arm's length. The result is a lack of public awareness of the issues. Henderson suggests that the non-binding character of the Chapter 2 guidelines exacerbates this deficiency.

> The lack of reporting requirements means there are no reports for citizens to read. The lack of state and federal direction means there is no higher level of authority for parents to appeal to. The lack of binding regulations (the ECIA specifies that the regulations will not have the force of the law) or guidelines (the Education Department has issued only a "non-binding handbook") means there are no rules or standards to which officials may be held. If anything goes, then anything goes.[19]

Such a reality is unacceptable, suggests Henderson, who argues that "it is abundantly clear that parent involvement improves student achievement. Where the community is actively involved in the life of the school, and when the school is the center of community activity, children do better in school and go to better schools."[20] A 1981 study, also by the National Committee for Citizens in Education, supports this contention.[21] It is apparent that an unwitting bait-and-switch has occurred. Lawmakers dangled the carrot of local responsiveness, and then beat constituents with the stick of bureaucratic level decision-making.

The Federal Commitment to Education Through Chapter 2

It remains to explore what direction the federal commitment to education is taking. Is the federal government more or less interested in supporting public education now in 1992 than before the block grant program was initiated in 1981? More importantly, how has the commitment been changing in the most recent half of the decade?

Briefly, the commitment to education through the block grant program does not compare favorably to total funds supplied to individual programs before 1981. Both state education departments and LEAs enjoyed larger aggregate authorizations for programs antecedent to the 1981 shift to block grants than any year since.[22] Verstegen and Clark in particular graphically illustrate the decreases by posting a few states as "winners"-- receiving more in block grants than the sum of the appropriations for their antecedent programs--and depicting many states as "losers"-- annually giving up ground compared to previous levels.[23] Henderson suggests further that the greatest losses were delivered in areas where they can least be sustained; the losing states are those that also claim the lowest per capita income, the highest minority representation and the greatest unemployment rates.[24]

These findings imply a decreasing federal commitment to education, but a glance at the past five years accentuates this conclusion. Table 3.1 illustrates the trend since 1987.

Each of the latter years of the recent decade has seen a decrease in federal dollars available for elementary and secondary education. The trend is obvious, but the reasons for the trend are not as clearly so. Robert Kastner, Effective Schools Program Officer for the U.S. Department of Education, suggests that possibly Chapter 2 block grants have become so thinly spread across a host of state and local programs that the results and outcomes are becoming difficult to trace. Lacking significant impact, they also lack champions; lobbying efforts are weak to non-existent, and so education becomes a convenient and somewhat painless area for Congress to gradually withdraw support. Other opinions at the Department of Education volleyed for consideration included Congressional dissatisfaction with demonstrable change, or simply that diminishing federal dollars for education "seems to be a trend."[25]

Education is a state responsibility and perogative, according to the United States Constitution. In a market economy, however, funding and dollars have traditionally implied control, or at the least, influence. The dilemma facing state and local education agencies is one of trying to harmonize local need and initiative with the authorized activities of the Chapter 2 guidelines. The Reagan administration appeared willing to grant and even encourage local autonomy. The long term results, however, could not be seen at the time. Lacking visible and national-scale results, small programs lost support and dollars decreased. It is becoming apparent that the eventual reality of block grant type programs is that federal lawmakers are willing to broker out control in exchange for decreased actual support. Furthermore, when control is attained by local education agencies, it is a shallow victory, for programs lost for lack of federal money are not typically replaced by state funds.[26] In these ways, what begins as local decision-making becomes rather an inordinate dependence on federal support. This occurs, even in the presence of the Chapter 2 provision that federal dollars "supplement, not supplant" state program.

OPTIONS AND RECOMMENDATIONS

(1) Educational programs developed that support the National Education Goals must continue to be affirmed. Many programs show evidence of building on the National Education Goals. In the interests of building a cohesive national education policy, these must simply continue to receive support.

Table 3.1

Chapter 2 Block Grant Totals To States And Outlying Areas

	Total grants approved (in millions)	*Grants to States (in millions)	Percent of Decrease from previous FY	Percent of Decrease from FY1987
FY 1987	500	494.7	-----	-------
FY 1988	478.8	473.6	4.2	4.2
FY 1989	462.9	459.1	3.3	7.4
FY 1990	455.7	452.3	1.5	8.8
FY 1991	448.9	445.5	1.4	10.2

* During each fiscal year, some of the total approved goes to various outlying areas (i.e., Puerto Rico, Virgin Islands, Marshal Islands, and American Samoa). Hence the difference between funds approved and those arriving at states.

At present, state applications must simply comply with procedural guidelines in order to secure Chapter 2 funds. Possibly in the future, additional guidelines can be drafted that ask state applicants to demonstrate how their program will encourage the attainment of the National Education agenda.

(2) Communication among State Directors of Chapter 2 Programs must continue, and must be enhanced. Exhibits such as the Chapter 2 Program Panorama become object lessons of the achievable, and can continue to stimulate creativity and local innovation. More than that, they illustrate a national partnership among states and between state and federal levels.

(3) In certain areas of school improvement, a program of state matching funds should be considered. This will increase the amount of available capital for education improvement--a significant need in the Chapter 2 approach. Less directly but possibly more importantly, this approach will force SEAs to establish funding priorities to increase the sense of local ownership for those programs that do work. Instead of trying to do "everything with very little," states will move toward doing a few things well.

(4) State governors must be more directly involved in the process of determining state educational strategies. The Educating America plan by the National Governors' Association is a positive beginning, but governors are "typically bypassed by federal programs."[27] They need to be invited to demonstrate greater influence in how and where their states move educationally.

(5) Federal Programs should recognize "parents are children's first teachers" and provide the support parents need to become involved in their children's schooling.[28] Tying block grants to local autonomy is a sensible move as long as the autonomy is truly local. Representatives from a wide constituency must be involved in policy formation, formula development and funds distribution. Several states have incorporated broad representation into their State Advisory Committees; for those that have, the system seems to be working well. Others need to follow suit.

(6) Reporting of Chapter 2 Fund usage must be made more systematic. If the citizenry is to be involved in the decision-making process, then mechanisms must be established that encourage communication and accountability.

(7) Current funding levels must be maintained; further reductions should be halted. We must remember that properly educating our young people today will yield benefits and reduce social welfare costs in the future generation. This long-term perspective should lead us to view education as a priorty,

instead of viewing it as inconsequential. This recommendation may necessitate involving legislators to a much greater degree than heretofore. If education is truly losing financial ground because legislators do not understand its importance, inviting them to be part of the process will build far more support and yield much more productive results than political tongue-lashing.

NOTES

1. U.S. Statutes at Large 95, Education Improvement and Consolidation Act of 1981, (P.L. 97-35)97th Cong., 1st sess., 13 August 1981, 469.

2. Anne Henderson, No Strings Attached: An Interim Report on the New Education Block Grant (Columbia, MD: The National Committee for Citizens in Education, Inc., 1983), 15.

3. U.S. Statutes at Large 95, Education Improvement and Consolidation Act of 1981, (P.L. 97-35) 97th Cong., 1st Sess., 13 August 1981, 469.

4. U.S. Statutes at Large 102, Augustus F. Hawkins - Robert T. Stafford Elementary and Secondary School Improvement Amendment of 1988. (P.L. 100-297) 100th Cong., 2d sess., 28 April 1988, 203.

5. U.S. Statutes at Large 96. (P.L. 97-313), 97th Cong., 2d sess., 14 October 1982, 1462.

6. National Governors' Association, Educating America: State Strategies for Achieving the National Education Goals, [Report of the Task Force on Education] (Washington, D.C.: NGA, 1990).

7. Chapter 2 National Steering Committee, Chapter 2 Program Panorama, (Washington D.C.: Chapter 2 State Directors, 1992).

8. Michael S. Knapp, "Educational Improvement Under the Education Block Grant," Educational Evaluation and Policy Analysis 9 (1987):283-299.

9. American Association of School Administrators, The Impact of Chapter 2 of the Education Consolidation and Improvement Act on Local Education Agencies (Arlington, VA: AASA, 1983).

10. Michael S. Knapp, "Educational Improvement," 289.

11. Ibid., 290.

12. Ibid., 291.

13. Michael S. Knapp, Legislative Goals Under the Education Block Grant: Have They Been Achieved at the Local Level? (Menlo Park, CA: SRI Internationals, 1986).

14. Michael S. Knapp, "Educational Improvement," 292.

15. Richard N. Apling and Christine Padilla, "Funds Allocation and Expenditures Under the Education Block Grant," Educational Evaluation and Policy Analysis 8 (1986): 403-422.

16. Ibid., 283.

17. U. S. Statutes at Large 95, Education Improvement and Consolidation Act of 1981. (P.L. 97-35), 97th Cong., 1st sess., 13 August 1981, sec. 561(b).

18. Ann Henderson, No Strings Attached, 7.

19. Ibid., 36.

20. Anne Henderson, Anything Goes: A Summary Report on Chapter 2, the Education Block Grant, (Columbia, MD: The National Committee For Citizens in Education, Inc., 1985), 30.

21. National Committee for Citizens in Education, Parent Participation and Student Achievement, (Columbia, MD: NCCE, 1981).

22. Richard N. Apling and Christine Padilla, "Funds Allocations and Expenditures."

23. Deborah A. Verstegen and David L. Clark "The Diminution of Federal Expenditures for Education During the Reagan Administration," Phi Delta Kappan 70 (1988):134-138.

24. Ann Henderson, No Strings Attached, 12.

25. Robert Kastner, Effective Schools Program Officer, U.S. Department of Education, personal interview with the author, 6 April 1992.

26. Susan Szaniszlo, Block Grant Implementation: A Preliminary Review of the Second Year's Experience, (Bulletin No. 84-1) (Washington, D.C.: Advisory Commission on Intergovernmental Relations, 1984).

27. U.S. Department of Education, "Reauthorization of Elementary and Secondary Education Programs; Request for Public Comment." Federal Register, 57 (1992): 4320.

28. Ibid., 4321.

CHAPTER 4 - GOAL 4

-Michael Vitez

ISSUE DEFINITION

Alarming numbers of young Americans are ill-equipped to work in, contribute to, profit from, and enjoy our increasingly technological society. Far too many emerge from the nation's elementary and secondary schools with an inadequate grounding in mathematics, science and technology. As a result, they lack sufficient knowledge to acquire the training, skills and understanding that are needed today and will be even more critically needed in the 21st century. Business and industry spend billions in training, colleges and universities devote large amounts of resources to remediation, and still the United States is having difficulty maintaining its competitive edge in the global marketplace.[1] This situation must not continue--improved preparation of all students in the fields of mathematics, science and technology is essential to the maintenance and development of our nation's economic strength, to its military security, to its continued commitment to the democratic ideal of an informed and participating citizenry and to fulfilling personal lives for its people. The focus of this section will be on the teacher development preparatory opportunities that will directly impact the increase of math and science achievement in the United States. This teacher-centered topic will be explored through the examination of a federally-funded governmental program and its core components.

BACKGROUND/LEGISLATIVE HISTORY

In 1990, the President and the governors adopted six ambitious goals to be met by the year 2000. Goal 4 explicitly mentions mathematics and science education:

o U.S. students will be first in science and mathematics achievement.

There exists a federally funded program to assist educators in professional development and inservice education to begin to accomplish this goal of being number one in the world in both mathematics and science: the Dwight D. Eisenhower Mathematics and Science Education Program.

The science and mathematics program created in 1984 by Title II of the Education for Economic Security Act [EESA] was primarily intended to support training and retraining of elementary and secondary science and mathematics teachers. The Education for Economic Security Act came into being in response to a widely perceived crisis in science and mathematics education related, in part, to deficiencies of the teaching force. The program was reauthorized in April 1988 by the Dwight D. Eisenhower Mathematics and Science Education Act.

The Eisenhower Act resulted from the efforts of a number of friends and admirers of the former President who were all of the opinion that an Eisenhower National Education Program would be a most fitting Centennial tribute to Dwight D. Eisenhower from a grateful nation for his world leadership.

The Dwight D. Eisenhower Society of Gettysburg started its program for the Centennial in 1987, and one of the cornerstones of its efforts was a national scholarship or educational program in the name of the 34th President. The Society submitted the first draft of educational/scholarship legislation in 1988, claiming no pride of authorship--the thrust was to get a bill underway in the House and Senate that would eventually result in an Eisenhower Educational Program. The Society worked with Senators Heinz, Spector and Kennedy, and Congressman Goodling and their staffs; and, although admirable legislation originated from some of these offices, it was not titled under the name of Dwight D. Eisenhower.

In 1988, on behalf of the Eisenhower Society, Congressman Goodling was able to have the existing Math and Science Program changed to the Dwight D. Eisenhower Math and Science Teacher Training Act. With Congressman Sawyer, he was able to help guide the current program through the House of Representatives with emphasis on training and retraining of elementary and middle school teachers. These amendments are also sponsored in the name of the Eisenhower Society. The Society reminds that Eisenhower once quoted Aristotle on the paramount need of a nation to educate its youth: "Those who have mediated on the art of governing mankind have been convinced that the fate of empires depends upon the education of youth."

The purpose of the Dwight D. Eisenhower Mathematics and Science Program is to strengthen the economic competitiveness and national security of the United States by improving the skills of teachers and the quality of instruction in mathematics and science in the nation's public and private elementary and secondary schools.

The Eisenhower Program is authorized under Title II, Part A, of the Elementary and Secondary Act of 1965, as amended by the Augustus F. Hawkins - Robert T. Stafford Elementary and Secondary School Improvements Amendments of 1988 [P.L. 100-297]. Two separate programs are implemented under this Act: the state program and the national program--a small discretionary grant program that makes competitive grant awards to SEAs, LEAs, IHEs, and the private non-profit organizations for staff development of mathematics and science teachers.

The Eisenhower Program, relative to other federal education initiatives, is modest in size. A quick review of the federal funding history is shown here:[2]

1986 appropriation = $39,182,000
1987 appropriation = $72,500,000 (8.5% increase)
1988 appropriation = $108,904,000 (50.2% increase)
1989 appropriation = $128,440,000 (17.9% increase)
1990 appropriation = $125,480,000 (2.3% decrease)
1991 appropriation = $202,011,000 (60.9% increase)

It is important to note here that since the passage of the National Educational Goals in 1989, the appropriation in the fiscal year 1991 has the largest percentage increase for this program. Not only is it the largest increase in the program's history, but it also shows a firm commitment in addressing National Goal 4.

The money allocated pays for various costs associated with professional development activities--participant stipends, travel costs, consultant fees, training staff salaries and materials used in training. Virtually all school systems in the nation--93% in 1988-89--receive program funds directly or through an intermediate unit or consortial arrangement. In addition, across the first four years of the project, approximately 20% of all degree granting institutions of higher education received grants. The number of teachers who participated in program-sponsored activities is large: an estimated one-third of all mathematics and science teachers in the nation, including elementary-level teachers, took part in some kind of supported activity in 1988-89.[3]

There are three components of the Eisenhower Program: (1) state leadership activities, (2) "flow-through" funding to school districts, and (3) grants to institutions of higher education.

State set-aside funds represent a small percentage [currently 4%] of program funds for state agencies for elementary and secondary education (SEAs) and higher education (SAHEs) to exercise leadership by (1) assessing and setting priorities for the improvement of mathematics and science education; (2) offering technical assistance to school districts and others engaged in reform activities; and (3) supporting various "demonstration and exemplary" projects. State agencies are funding various activities, including conferences, teacher support networks, revision and dissemination of state and mathematics and science frameworks, and the promotion of national reform agendas, e.g., as represented by the Curriculum and Evaluation Standards of the National Council of Teachers of Mathematics.

Currently two-thirds of the program's state and local grant funding is allocated through SEAs by formula to school districts to support professional development activities determined at the local level. The majority of these funds pay for low intensity inservice training, averaging six hours of training per participant per year. A substantial fraction of the flow-through funds also supports out-of-district professional development, including widespread participation in professional associations. LEA sponsored training under the program is highly varied. At one end of the spectrum are focused, well-designed staff development events that have clear impact on teachers' thinking and classroom practice, while at the other are ad hoc training experiences that appear to contribute little to improved practice.

The remainder of the funds, 24% under the current formula, are awarded competitively by SAHEs to institutions of higher education to support professional development projects of several kinds. The great majority of projects provide inservice teacher education, while a small percentage, 12%, concentrate on, or include, preservice preparation of teachers (a few projects are concerned primarily with curriculum development or direct services to students). By comparison with district-sponsored activities, these projects are typically more intensive, averaging 60 hours per participating teacher, pay more attention to content in addition to pedagogy and are more frequently focused on the needs of underrepresented groups, e.g., women and minorities.

Conceptually, the flow of funds can be traced (in somewhat simplified form) through the intergovernmental system as shown in Figure 4.1.[4] The flow is through the states, principally to districts (LEAs) and to institutions of higher education (IHEs); the three major "pieces" of the program are shown as boxes at the bottom of the diagram. The flow begins with separate grants by the federal government to the state agency for elementary and secondary education (SEA) and the state agency for higher education (SAHE) in each state. (In this figure, the discretionary activities administered at the federal level are ignored.)

The reauthorization changed the flow of funds by combining two different kinds of higher education grants requiring that all of them be awarded by a competitive process in each state, and by changing the formulas for allocating the program funds to the states within each state. The reauthorization also eliminated foreign language and computer education as focal areas of the program. Another change was the elimination of a separate set-aside for technical assistance by the SEAs.

Figure 4.2 shows the percentages of the funds allocated for the various components of the program under the corresponding legislation. For example, the minimum "flow-through" funds to school districts were set by Title II at 49% of that total, but that proportion was increased to 67.5% under the Eisenhower Program. The amount of funds allocated to the different components depend on the appropriation level as well as the formula. Figure 4.3 shows the levels of funding for the major pieces of the program

FIGURE 4.1

EISENHOWER MATHEMATICS AND SCIENCE EDUCATION PROGRAM FUNDING

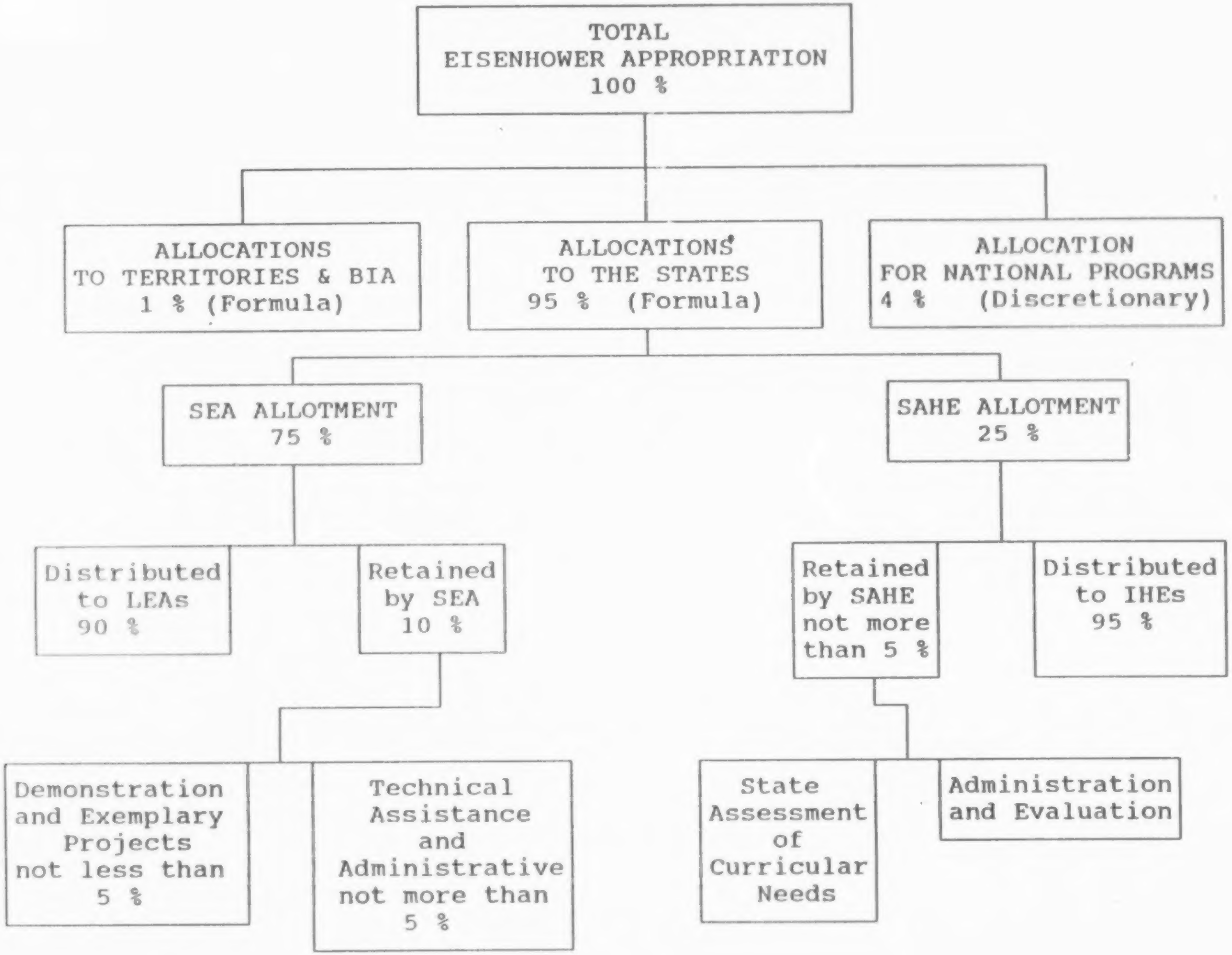
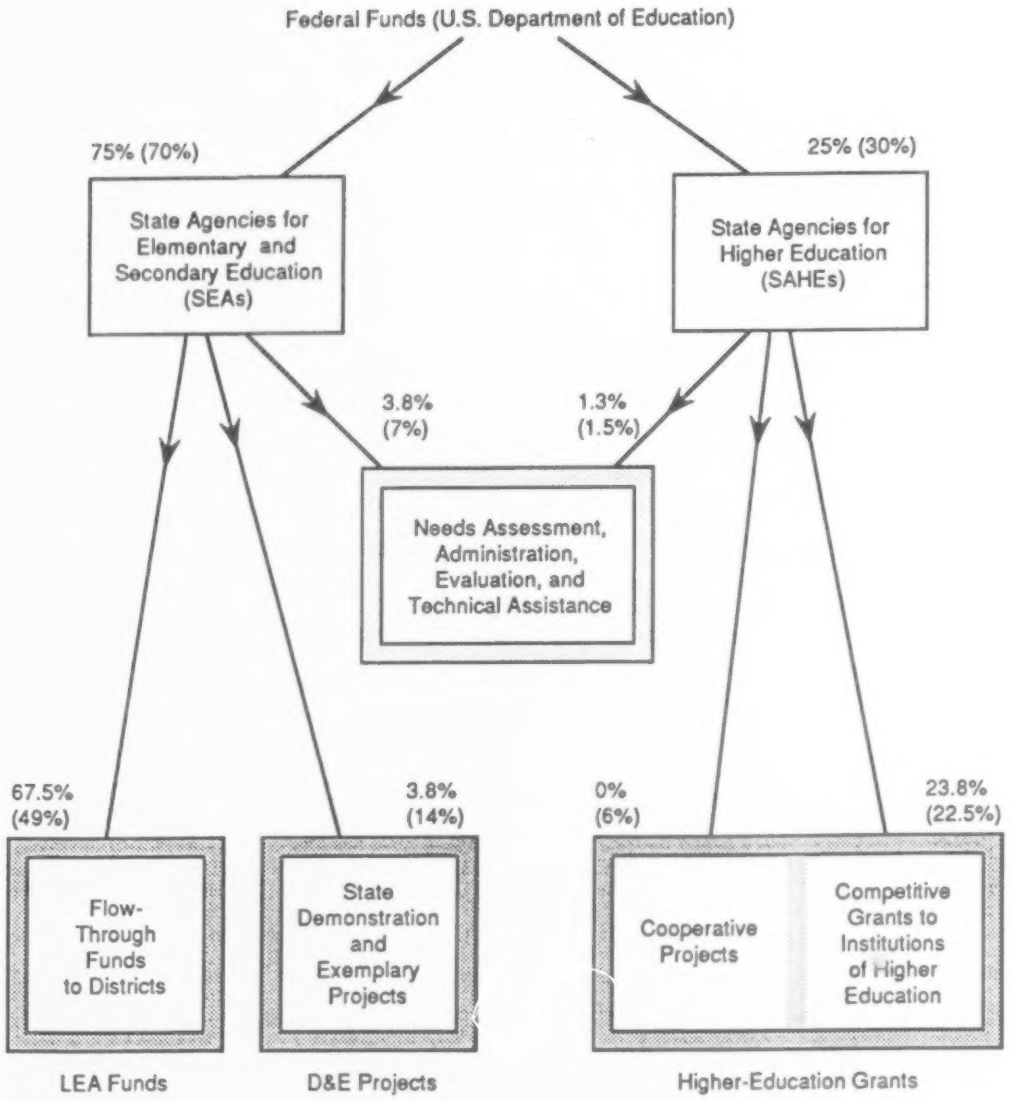

TOTAL
EISENHOWER APPROPRIATION
100 %
ALLOCATIONS
TO TERRITORIES & BIA
1 % (Formula)
ALLOCATIONS
TO THE STATES
95 % (Formula)
ALLOCATION
FOR NATIONAL PROGRAMS
4 % (Discretionary)
SEA ALLOTMENT
75 %
SAHE ALLOTMENT
25 %
Distributed to LEAs 90 %
Retained by SEA 10 %
Retained by SAHE not more than 5 %
Distributed to IHEs 95 %
Demonstration and Exemplary Projects not less than 5 %
Technical Assistance and Administrative not more than 5 %
State Assessment of Curricular Needs
Administration and Evaluation

FIGURE 4.2


Federal Funds (U.S. Department of Education)
75% (70%)
25% (30%)
State Agencies for Elementary and Secondary Education (SEAs)
State Agencies for Higher Education (SAHEs)
3.8% (7%)
1.3% (1.5%)
Needs Assessment, Administration, Evaluation, and Technical Assistance
67.5% (49%)
3.8% (14%)
0% (6%)
23.8% (22.5%)
Flow-Through Funds to Districts
State Demonstration and Exemplary Projects
Cooperative Projects
Competitive Grants to Institutions of Higher Education
LEA Funds
D&E Projects
Higher-Education Grants

Explanation of Figure: The current percentage for distributing Eisenhower funds is shown first, based on the formula used in the reauthorized version of the legislation. In parentheses are shown the corresponding percentages for EESA Title II, the predecessor. Actual distribution of funds may differ slightly from the target percentages.

Funding Levels: Total program funding for the activities shown has varied year by year. For the first 5 years, beginning in school year 1985-86, the funding levels (in millions) for the 50 states (plus the District of Columbia) were: $87.4, $38.0, $70.6, $105.7, and $124.0. The last of these amounts, for school year 1989-90, was the level for the first year of the Eisenhower program with its revised formula for allocating the funds.

THE DISTRIBUTION OF PROGRAM FUNDS

FIGURE 4.3

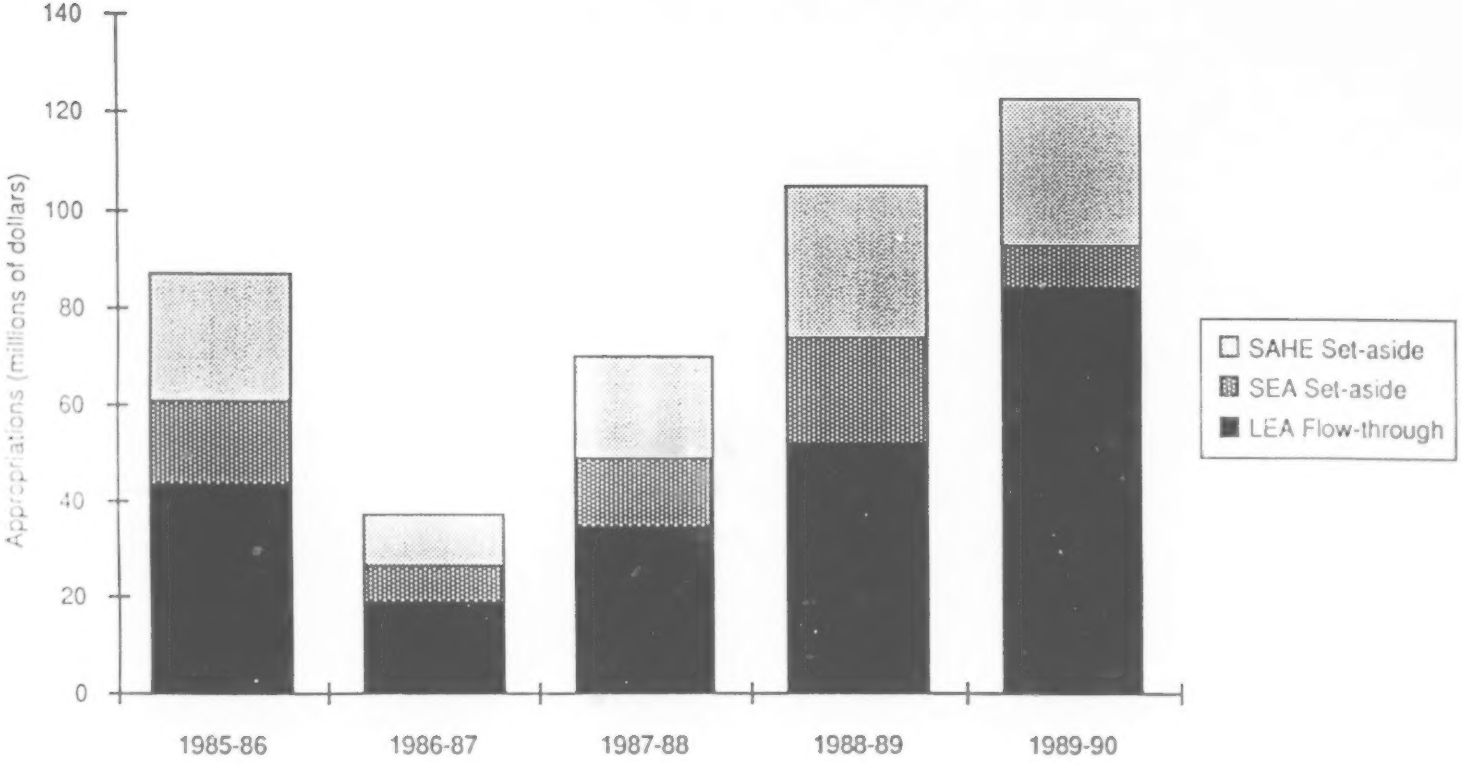


FIGURE 2 THE FLOW OF PROGRAM FUNDS TO STATES AND DISTRICTS — TITLE II AND EISENHOWER FUNDING LEVELS

for the first five years.[5] The large dip in the appropriation is evident.

The influence of the Eisenhower Program could be illustrated in a way that closely parallels the flow of dollars. Although the ultimate effect is intended to be increased student achievement and participation, most of the program funds are not spent directly on students, curricula, or materials, nor are they meant to be. The preponderance of the funds are spent on training, conferences, and other activities for teachers, collectively called professional development expenditures. In other words, the program affects education improvement indirectly through its effects on elementary and secondary teachers. This characteristic of the program has important implications. Unlike a federal program aimed directly at students, such as ESEA Chapter 1, there is no feasible way to attribute changes in student achievement unambiguously to the program rather than to ongoing changes in curriculum, testing, new certification requirements, other state and federal programs, or other changing characteristics of the education system or of students themselves.

Some of the major activities of mathematics and science education that the Eisenhower Program currently supports include: (1) development and implementation of long-range state and district-wide plans for teacher improvement in mathematics and science; (2) programs to increase teacher knowledge in the content areas of mathematics and science; (3) programs to improve instructional strategies; (4) dissemination of successful programs and practices in mathematics and science; (5) utilization of technology to enhance instruction; (6) programs that promote greater access of underserved and underrepresented populations to mathematics and science services and careers; and (7) increased teacher participation in mathematics and science professional organizations, resulting in greater awareness of current developments and major reform efforts in mathematics and science.

ANALYSIS

The problems facing our elementary and secondary education schools, particularly in mathematics, science, and technology, are well-known and well-documented. Simply put, students in our nation's schools are learning less mathematics, science, and technology, particularly in the areas of abstract thinking and problem solving. Since the late 1960s most students have taken fewer mathematics and science courses.[6] Mathematics and science achievement scores of 17 year olds have dropped steadily and dramatically during the same period.[7] Approximately half the students leave the math and science pipeline each year.[8] For example, of the nearly 10 million secondary students who study mathematics each year, fewer than 800 eventually receive doctorates in the sciences, and this number has been declining since the 1970s. Twenty-five percent of our young people are not even graduating from high school.[9] A disproportionate number of these non-graduates are minority students whose parents do not speak English at home.[10] There have been large gaps in achievement and interest in mathematics and science between Asia/Pacific Islander and White students and their Black and Hispanic counterparts, and to some extent between male and female students.[11] There has also been considerable research showing that the differences in mathematics and science achievement by minority and female students may be linked to differences in motivation.[12] Teachers' and parents' expectations, school and home climate, and content and delivery of instruction may tend to seriously impede the number of minorities and females who pursue math and science studies with sufficient interest, motivation and preparation. Moreover, parents may often accept and even expect that their children will perform poorly in math and science because the parents "could never do math or science either."

According to the National Assessment of Educational Progress (NAEP), in 1986 only 21% of 9 year olds and 73% of 13 year olds displayed a firm grasp of the four basic math operations and of beginning problem solving. And while nearly all 17 year olds were able to add, subtract, multiply, and divide, only half demonstrated a grasp of decimals, fractions, percentages, and simple equations. Only 6% were able to solve a multi-step problem using basic algebra.[13]

In science the situation is similar. In 1986, NAEP's Science Assessment showed that only half of the 13 year olds and 81% of the 17 year olds understood basic information in the life and physical sciences. Only 41% of the 17 year olds demonstrated any detailed knowledge of science or its procedures. And just 8% reached the highest level of proficiency on the NAEP exam, which calls for using detailed scientific knowledge to infer relationships and to draw conclusions.[14]

Mathematics

For most of the 1980s, a nationwide movement has been gaining momentum to reform mathematics education. This provides an important context and focus for the use of Eisenhower resources. The direction and tone of this movement have been set by a series of reports, among them, the National Council of Teachers of Mathematics Agenda for Action[15], the second International Mathematics Study report, The Underachieving Curriculum[16], the National Research Council's report, Everybody Counts[17], the National Council of Teachers of Mathematics Curriculum and Evaluation Standards in School Mathematics[18], and the National Council of Teachers of Mathematicss new companion report, now in progress, Professional Standards for Teaching Mathematics.[19]

There is strong consensus in these reports about the direction and nature of the reforms needed in mathematics education. Four interrelated ideas are central to all of the proposed reforms for mathematics education:

(1) curriculum change is the key to reforming mathematics education.

(2) alongside changes in what is taught, modes of instruction should be diversified.

(3) mathematics should be designed to serve all students.

(4) for curriculum and instruction to change, teachers must change.

A great deal of reform attention has focused on the content of math education. The central idea involves broadening the range of mathematical topics included in the curricula, and integrating topics throughout the K-12 course of study so that they are not studied in separate years. Eisenhower funds are supporting this reform target on a wide scale. A second way in which the Eisenhower Program has helped to broaden the content of the mathematics curricula has been to help support local curriculum revision efforts. Math specialists, curriculum coordinators and teachers, with the help from local universities, are able to reshape the district's instructional materials and tests to reflect the realities of the students' needs and capabilities.

Alongside efforts to broaden the topical focus of math, the reform movement is placing great emphasis on altering the way the subject is taught. Workshops and activities sponsored by Eisenhower are heavily focused on helping teachers provide these opportunities. The reform movement has highlighted needs for fundamental change in the way math teachers think about the subject, students' learning and the teaching process. Eisenhower Program activities tend to share these assumptions to a large extent, they promote the practices and values expressed in key documents within the mathematics reform movement. The professional development activities funded through Eisenhower offers teachers a chance to experience hands-on learning of math, cooperative group work, problem solving using calculators and group discussions of open-ended problems.

There are significant barriers at the elementary level relative to the Eisenhower Program. At the elementary level, the number of teachers is large and the time they devote to any one subject is relatively small. The Eisenhower Program does not provide enough resources to work with all elementary school teachers to any significant extent. For many teachers, mathematics is equivalent to arithmetic. Teachers find it very difficult to teach problem solving, estimation and geometry at the expense of calculation skills. In some districts that have the resources and time to concentrate heavily on reforming their math curricula, some teachers reach a point of saturation. They do not want to leave their classrooms for additional days of training.

There are also significant barriers to the secondary level of mathematics in the Eisenhower program. State and district coordinators have difficulty defining clear solutions or directions in which to proceed in reform. To make curricular changes requires time. Teachers need more time to learn about new ideas, to plan their use, and to discuss their strategy and share their experiences with other teachers. They often have no such time. To integrate technology into the math curriculum requires an investment of resources and effort that few schools can provide. Funding for in-service, then, must also support teacher training in the use of technology.

Science

The Eisenhower Program has contributed in a similar way to the reform movement in science education, although there are differences between the disciplinary areas and what is being done to change them.

As in the case of math education, the nature of the problem and direction of change have been identified by a series of reports and analyses over the past decade. In 1978, the National Science Foundation carried out three large studies that explored the current status of science and math education in the United States. Extensive case studies and surveys showed a picture of science education that included neglect at the elementary level, confusion at the middle school level and college preparatory courses at the high school level. Overall, it was clear that high-quality science education was being delivered only to the advantaged few. In 1985, the report of the National Science Board--Educating Americans for the 21st Century--generated a level of national concern and science education in the United States not known since the days of Sputnik.[20] In particular, it highlighted the need to focus much greater attention on the early years K-6, as well as the need to make science education interesting and available to all students. Other reports and studies echoed and further defined these concerns. For example, the National Assessment of Educational Progress, as well as international comparative studies, showed that American students lagged in the amount of science studied and learned.[21] Studies by professional societies such as the National Science Teachers Association and the American Institute of Physics showed that American science teachers at the secondary level were often isolated from their peers and ill-prepared to teach the multiple subject areas to which many were assigned.[22]

More recently, reform ideas have begun to take concrete form through a variety of developmental efforts, both large and small. Among the most visible of these are several national efforts to rethink the entire science curriculum in a fundamental way. For example, Project 2061 of the American Association for the Advancement of Science, a collaborative effort involving scientists, teachers and pilot districts, has completed its first phase with a report Science for All Americans, which outlines a thematic and interdisciplinary approach to science education.[23]

To date, there is not the same degree of consensus about reform in the science community that exists in the mathematics education world, since the science education community is far more diverse and fragmented than the math education community. Nevertheless, there are still a number of key ideas that capture the thrust of the various reform efforts:

(1) the most important goal of science education is scientific literacy for all students.

(2) scientific instruction should engage students in an active, hands-on social mode of learning.

(3) teachers should learn science by experiencing scientific inquiry for themselves.

The goal of achieving scientific literacy has two prominent practical implications. One is that all students should receive an abundance of hands-on experiences at the elementary level. The other is that all students should continue to study science throughout their K-12 career. The Eisenhower Program is making a substantial contribution to the first and some to the second. Many summer institutes in science education focus heavily on helping teachers broaden their repertoire of activities and approaches. In the best of the institutes and workshops, supported by Eisenhower funds, teachers become engaged in and excited by their own learning.

As with mathematics, different barriers exist to the improvement of elementary and secondary science. The specific needs of elementary science are different from those of math. The time and energy necessary to prepare for this is inadequate. In the United States, science at the elementary level is seen as important, but still secondary. Teachers must teach all subjects, and in competition for time, science is often slighted.

There are two barriers to improvement for secondary school science through Eisenhower funds. Many school teachers lack the facilities, equipment and support to transform their programs into lab-based experiences. Second is the issue of who is actually attending and benefiting from science activities. There is some evidence that the people who participate in workshops, institutes, and conferences tend to be the most able and motivated teachers.

In summary, the science activities that the Eisenhower Program supports help individual teachers make incremental changes in their own classrooms, but not more fundamental shifts in approach. They are learning new topics, demonstrations, lab activities, and specific uses of new technologies. Most of what is learned is infused into the present curriculum so that students then receive instruction that is richer and multifaceted.

The net effect of these factors at both levels is to slow down the pace of change, or in some cases, inhibit it altogether. The key point for understanding the Eisenhower Program is that, by and large, these barriers lie outside the professional development sphere altogether. The fact that the impacts of the program are limited by these forces says less about the program and more about the systematic complexity of achieving fundamental improvement in these subject areas. Acknowledging the power of these factors helps one to be realistic about what the program can accomplish and to see that the Eisenhower Program is only part of any lasting solution to the problems that beset math and science education.

These findings at both the elementary and secondary levels point out again that the Eisenhower Program is more of an enabling resource than a focused intervention in its own right. Thus, it is only as good as the leaders it empowers; it can further reform only to the extent that the field itself is ready to undergo reform; and it is limited by systematic constraints.

Summary

Four themes summarize what this federal program is about and its place among current initiatives aimed at the reform of mathematics and science education. The program occupies an otherwise unfilled niche among reform initiatives. The design of the program and the way it has been implemented give it a unique function among current federal, state and local reform initiatives. In particular, the program has an especially wide reach, enabling it to serve all states and school districts in the nation and a substantial fraction of the nation's higher education institutions. The funding is flexible and easy to obtain. The program targets the K-12 and higher education systems simultaneously and encourages their collaboration in efforts to improve mathematics and science education. No other reform initiatives have these attributes. Those that come closest e.g., the teacher preparation and enhancement grant programs of the National Science Foundation, emphasize the development of national models through relatively large grants to smaller numbers of grantees.

The program expands the array of professional development opportunities. Eisenhower grants to school districts and institutions of higher education have substantially increased the array of professional development opportunities available to mathematics and science teachers. These opportunities are of mixed quality, but at a minimum they offer large numbers of teachers the chance to become aware of reform ideas, make connections with colleagues, and revive or expand their interest in mathematics and science teaching. Although there is no easy way to estimate participation, a great number of these opportunities offer much to teachers and are designed in ways that promise to have some lasting impact on teachers' thinking and classroom practice. Perhaps the majority of these opportunities are provided through higher education grant projects, but less than half are composed of school-district sponsored activities.

The program supports leadership but does not create it. Although it has mechanisms that encourage the focusing of funds on high-priority needs, the program does not chart the course for efforts to reform mathematics and science education. Rather, it offers a key resource to state, regional and local leaders to implement reform ideas on a wide scale. In this way, the program depends on the environment of reform activity that surrounds it. Thus, in school districts with well-focused agendas for improving math and science education, the funds are likely to be spent well, while in other districts, the funds are less effectively used. At all levels, the program and the resources it offers appear to have empowered subject-area leadership.

The program provides a necessary but not sufficient resource for promoting sustained change in teaching practice. What the program offers is necessary to the success of reform efforts in several ways: it addresses a function that must compete for scarce local staff development dollars with other subject areas and with generic inservice, yet is key to the widespread adoption of new approaches to teaching. Among large numbers of teachers at all levels of K-12 schooling, the program builds awareness and a sense of rejuvenation--an essential first step in the reform process. For a smaller but substantial number of teachers, the program takes them farther along the road to reform.

But the program cannot revolutionize teaching practice on its own. Eisenhower funds are not great enough to support professional development of sufficient intensity and for large enough numbers of the nation's teachers to make the deep and lasting changes in teaching practice that are currently needed. Furthermore, and perhaps more importantly, the program is not designed to address the elements besides professional development that must also be improved for lasting changes to occur--among them facilities, teacher salaries, curriculum, assessment procedures, and the overall organization of the school programs.

RECOMMENDATIONS

There are three implications that have become evident in researching this program. The final paragraphs are recommendations for improving the program when the program is next reauthorized at the federal level.

The three component strategy of the program should be maintained. The components serve different but complementary functions that are each essential to the overall success of the program as a professional development strategy. The generally low-intensity and short-term training offered by school districts is an effective means for building widespread awareness and rejuvenating large numbers of teachers; it also allows districts with well-developed improvement agendas to do more for their teachers. The higher education grant component offers a richer set of training experiences to teachers than what is available through most district-sponsored activities. The state leadership activities give direction to both of the other components and build an additional layer of support in terms of teacher networks, topical conferences, and other forms of information dissemination.

The program's funds should be allocated differently among the three components. Study findings suggest that there is an imbalance in the current allocation formula, which was in fact exacerbated by the recent reauthorization of the program; the component of flowthrough funding to districts offering the lowest intensity and widest variety in quality of training, receives the lion's share of the resources; whereas the state leadership component, which is providing direction and continuous support to large numbers of districts, operates with an extremely small share of the resources. A better balance can be struck by proportionately increasing the share allocated to state leadership activities and grants to institutions of higher education.

A variety of additional leadership activities at the federal, state and local levels would strengthen the program. Because the program depends on the vision or sense of direction of those who receive funds, further steps should be taken to strengthen leadership at all levels of the program. Additional leadership and direction need not involve extensive regulation and can be accomplished without reducing the program's flexibility and administrative simplicity--for example, by exhortation, dissemination of information, and similar means.

During the last years of this century, the position of mathematics, science and technology, historically at the periphery of learning for all, must shift to center stage. Americans must acquire a greatly increased understanding of the physical and biological world. This goal can be achieved. Students can develop a useful understanding of mathematics, science and technology if these subjects are appropriately introduced and skillfully taught at the elementary and secondary school levels.

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CHAPTER 5 - GOAL 5

-Paul Purves

ISSUE DEFINITION

Goal 5 which is concerned with adult literacy and lifelong learning is as follows:

> By the year 2000, every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and responsibilities of citizenship.

The three key objectives associated with Goal 5 are: (1) every adult American will be literate by the year 2000; (2) every adult American will possess the knowledge and skills necessary to compete in a global economy; and (3) all Americans will exercise their rights of citizenship. In an attempt to achieve these goals the National Literacy Act of 1991 was passed.[1] This bill came directly from the adoption of the National Education Goals and is an attempt by Congress to achieve the three key objectives. A key issue in obtaining these objectives is the level of funding of the different programs found in the National Literacy Act of 1991. This analysis will focus on the background and legislative history of the act, analysis of the funding of its programs, and recommendations for future progress.

BACKGROUND AND ANALYSIS

The National Literacy Act of 1991 is an attempt at a comprehensive approach for improving adult literacy and basic skills by coordinating, integrating and investing in adult and family literacy programs at the federal, state and local levels.[2] The legislation provides for quality program delivery and includes all sectors, such as, public, community-based, volunteer and business.[3] Close to 30 million American adults have serious problems with literacy--the ability to read, write, and speak English, and compute and solve problems effectively. The nation's literacy problems are closely associated with poverty and pose major threats to the economic well-being of the United States. Our future competitiveness and an individual's active participation in the democratic process are severely hampered without an all-out attack on these problems.[4]

Present programs reach only a small portion of those in need of the services. Forrest P. Chisman has estimated through department of education reports that in 1986 between 3 million and 4 million people were enrolled in adult literacy programs funded by public sources.[5] Chisman has also estimated that the number of people who need help is estimated at 20 to 30 million. Chisman feels that the lack of precise data in the field of literacy has probably deflated the true discrepancy of those who actually need the help and those who are being served.[6] Greater investment is required in order to be able to reach those who are in need. The ability to obtain accurate information on the number of people affected is needed as well as the ability to identify better strategies by which to combat the problem.

The Hudson Institute's report entitled Workforce 2000 states that a decline in population growth will mean an older workforce where the average age of workers will increase from 36 to 39 by the year 2000. The report also states that workers from the age of 16 to 34 will account for only 40% of the workforce by the year 2000. Johnston and Packer performed a study in 1987 which stated that: "Since many future jobs will require more education and higher levels of information processing, reasoning, reading, and math, it is obvious that literacy is becoming much more than basic skills training or high school equivalency work. Quick-fix training will be no help to a workforce that is aging and not being replaced by younger or more highly skilled employees."[7]

In the National Literacy Act of 1991 Congress found that:

(1) nearly 30 million adults in the United States have serious problems with literacy;

(2) literacy problems are intergenerational and closely associated with poverty and pose a major threat to the economic well being of the United States;

(3) present public and private literacy programs reach only a small portion of the population in need and often result in only minimal learning gains;

(4) the prevention of illiteracy is essential to stem further growth in national illiteracy rates;

(5) literacy programs generally lack adequate funding, adequate coordination with other literacy programs, and an adequate investment in teacher training and technology;

(6) access to better information about the best practices in the literacy field and more research in order to provide better diagnostic and instructional tools are essential for the improvement of literacy and employability in the United States;

(7) as many as 50 million workers may have to be trained or retrained by the year 2000;

(8) the supply of unskilled workers is increasing while the demand for unskilled labor is decreasing;

(9) programs under the Adult Education Act, which are the largest source of direct literacy services in the United States, serve only 10 percent of eligible participants;

(10) all public and private literacy programs serve only about 19 percent of those who need help.[8]

The National Literacy Act of 1991 has seven titles that address the findings of Congress by providing an infrastructure for coordination, research, and planning; upgrading the literacy and basic skills training systems; and investing in the programs assisting adults and families with low levels of literacy.[9]

For purposes of the Act the term "literacy" means an individual's ability to read, write and speak in English, compute and solve problems at levels of proficiency necessary to function on the job and in society, to achieve one's goals and develop one's knowledge and potential.[10]

National Literacy Act of 1991

Title I establishes an infrastructure for federal and state leadership, research, planning and comprehensive quality program delivery. It creates a National Institute for Literacy which shall be administered through an interagency agreement between the Secretaries of Education, Labor, and Health and Human Services. The Institute would be housed outside these departments and would have an advisory board consisting of representatives from state and local governments, the literacy field, and the private sector. The Institute shall not only be a central repository of information and expertise for federal programs, but also should serve Congress, the states, program providers, business and industry.[11]

The purpose of the National Institute of Literacy is to enhance the national effort to eliminate the problem of illiteracy by the year 2000 by improving research, development and information dissemination through a national research center. The Congress found that:

(1) much too little is known about how to improve access to, and enhance the effectiveness of adult literacy programs, assessment tools, and evaluation efforts;

(2) there is neither a reliable nor a central source of information about the knowledge base in the area of literacy;

(3) a national institute for literacy would:
    (a) provide a national focal point for research, technical assistance and research dissemination,

policy analysis, and program evaluation in the area of literacy; and

(b) facilitate a pooling of ideas and expertise across fragmented programs and research efforts.[12]

Title II establishes a national workforce collaborative to improve the basic skills of those currently employed. The collaborative will assist small and medium sized businesses, business associations and labor organizations to develop and implement literacy programs to meet the needs of the workforce. The collaborative's major activities focus on providing small and medium-sized businesses with the technical assistance required to address the literacy needs of the workforce.[13]

Congress established the functions of the collaborative as the following:

(1) develop and implement a plan for providing small and medium sized businesses with the technical assistance required to address the literacy needs of their workforce;

(2) monitor the development of workforce literacy training programs and identify best practices and successful small and medium sized business program models;

(3) inform businesses and unions of research findings and best practices regarding exemplary curricula, instructional techniques, training models, and the use of technology as a training tool;

(4) provide technical assistance to help businesses assess individual worker literacy skill needs, implement workforce literacy programs and evaluate training program effectiveness;

(5) promote cooperation and coordination among state and local agencies and the private sector to obtain maximum uses of existing literacy and basic skills training resources;

(6) conduct regional and state small business workforce literacy meetings to increase program effectiveness and accountability;

(7) establish cooperative arrangements with the National Institute for Literacy and other centers involved in literacy and basic skills research and development activities;

(8) prepare and produce written and video materials necessary to support technical assistance and information dissemination efforts.[14]

Title III assists states and local programs in providing essential education and training by investing in quality programs, program expansion, coordination and staff training. The title provides for state coordination of adult literacy and basic skills programming by redefining the state education advisory board and requiring a coordination plan within the state Adult Education Plan. The plan identifies the literacy needs of the state's citizens and specifies a means for addressing these needs, including statewide goals.[15]

Title IV creates an education program for commercial drivers that would provide commercial drivers with the knowledge and skills necessary to successfully complete the test requirements under the Commercial Motor Vehicle Safety Act of 1986. Title V amends the Elementary and Secondary Education Act to place a priority on library literacy programs which are delivered in areas of greatest need and that coordinate with other literacy organizations and community-based organizations where new reading motivation programs are established by Reading Is Fundamental.[16]

Title V is aimed to serve at the minimum:

(1) low income children

(2) children at risk for school failure

(3) children with disabilities

(4) emotionally disturbed children

(5) foster children

(6) homeless children

(7) migrant children

(8) children without access to libraries

(9) institutionalized or incarcerated children

(10) children whose parents are institutionalized or incarcerated.[17]

Title VI provides for an important new federal initiative by requiring that each state will have at least one mandatory functional literacy program within two years. In addition, each state correctional program with a population of 150 inmates shall have a mandatory literacy program. Since the success of any correctional education program depends to a great extent on providing appropriate educational services in a particular institutional setting, "adequate opportunities for appropriate educational services and testing" includes appropriate assessment of English language proficiency and learning disabilities, and opportunities for individual inmates to receive appropriate instruction and assessment.[18]

President George Bush on July 25, 1991, gave a statement upon signing the National Literacy Act into law. Bush's comments bring out the key issue of funding and the importance of dollars in solving a national problem such as literacy. Bush said that the legislation represented another significant step toward implementing our America 2000 strategy and in attaining the National Education Goal of adult literacy and lifelong learning.

> "Improving literacy is one of my Administration's most important objectives. I have consistently proposed increases in funding for literacy programs including Even Start and adult education. I am particularly pleased that state literacy resource centers envisioned by the act are very similar to the regional literacy resource centers proposed in our America 2000 Excellence in Education Act."[19]

The Congressional Quarterly of June 29, 1991, highlights the bill and points to some future problems that might occur in funding. The bill aims to impose coordination of literacy programs and research at national and state levels. It would authorize $1.5 billion for literacy programs through fiscal 1995. Of that, $160 million would be for new initiatives in fiscal 1992, but finding the money is likely to be difficult as the Labor-HHS appropriations subcommittee struggles to fund growing health care costs. This foresight would prove correct. An example occurred on July 29, 1991, when Senator Strom Thurmond, a Republican from South Carolina, amended the National Literacy Act to make literacy for prisoners discretionary. Thurmond was quoted in the July 29th, 1991, Congressional Quarterly as saying, "States have enough trouble paying for their schools without paying to educate their inmates."[20]

In examining the funding for The National Literacy Act of 1991 it should be noted that the age of the bill makes an indepth analysis complicated. Four programs will be studied to see if adequate funding is being provided, including The National Institute for Literacy, State Literacy Resource Centers, Adult Education grants, and the Even Start program. The figures for all programs except Even Start will point to the fact that the National Literacy Act of 1991 is not being funded as expected which may prove detrimental towards the comprehensive aim of the program.

In examining the National Institute for Literacy it was expected when the bill was passed that estimated outlays for the institute would be $12 million dollars in fiscal 1992.[21] The fiscal 1993 budget shows that only $9 million dollars for national programs in adult education was appropriated of which the National Institute was just one part. In addition, no other money was found to be spent towards the support of the National Institute through other programs. Therefore, it can be assumed that actual funding for the National Institute of Literacy was at least 25% below expected outlays. Also, expected authorization for fiscal 1993 of national programs, of which the National Institute is a part, was, again, 9 million dollars which is far short of the $15 million dollars expected. (See Table 5.1)

The National Literacy Act of 1991 was to amend the Adult Education Act and increases the amount of money available for adult education grants from 200 million dollars to 260 million dollars.[23] In an examination of the actual figures, the 1993 fiscal budget shows that 235.75 million dollars was appropriated for adult education grants. This money does represent an increase of over 200 million dollars but is far short of the 260 million that was expected for the program. Fiscal 1993 would appear more encouraging as 260 million is authorized for the adult education grants. Whether this money is actually outlayed though is another issue (See Table 5.1).

The one encouraging program that has proved to be very successful is Even Start. Even Start was first funded in 1989 and has been a major initiative in the area of family literacy. Even Start programs now operate in every state helping young at-risk children to obtain the skills they will need to succeed in school while helping to improve the educational and parenting skills of adults. Research suggests that more money should be spent towards diagnosing young children who may be susceptible to illiteracy.[24] The actual money spent on Even Start has increased every year and has even surpassed what was expected by the National Literacy Act of 1991. The actual money appropriated in 1990 on Even Start as presented by the fiscal 1992 budget was $24,441,000. In 1991 this figure rose to $49.83 million, a significant increase in actual dollars outlayed. In 1992 this figure again rose to $70 million, which was 10 million dollars greater than what the National Literacy Act of 1991 called for. In 1993 the authorization is set at $90 million.[25] (See Table 5.1)

The National Literacy Act of 1991 was designed to solve the problems that had been in existence with regard to adult literacy. The act was directly influenced by the National Educational Goals as well as a 1989 report by the U.S. Government entitled A Vision For America's Future. This work published the troubling figures:

Table 5.1

Table One: The National Literacy Act of 1991
(Selected programs are listed)

National Institute for Literacy		Fiscal 1992
	Authorization	12 million
	Outlays	9 million
		Fiscal 1993
	Authorization	15 million
	Expected Outlays	9 million
State Literacy Resource Centers		Fiscal 1992
	Authorization	3 million
	Outlays	5 million
		Fiscal 1993
	Authorization	20 million
	Expected Outlays	5 million
Adult Education Act		Fiscal 1992
	Authorization	260 million
	Outlays	235 million
		Fiscal 1993
	Authorization	260 million
	Expected Outlays	260 million
Even Start		Fiscal 1992
	Authorization	60 million
	Outlays	70 million
		Fiscal 1993
	Authorization	60 million
	Expected Outlays	90 million

(1) If we continue on our present course, by the year 2000 one in four American children will be living in poverty. Today, one in five is classified as poor.

(2) One in four American families is now a single-parent family, and single-parent families now make up two out of three homeless families.

(3) One in every 5 girls will have a child by the age of 20, and most of these mothers will not be married. Only 6 of 10 will have high school diplomas, compared with 9 of 10 among their peers who are not parents.

(4) One out of 3 of the homeless--estimated at between 350,000 and 3 million--is a parent with homeless children.

(5) A significant number of poor children have parents who do not have a high school education. No matter how motivated these parents may be to help their children learn, they often lack the personal and financial resources to do so.[26]

The National Literacy Act attempts to attack this demographic shift as well as the large numbers who are unserved by the programs.

In analyzing the different measures of the National Literacy Act it is clear that full funding is not occurring. Will this lack of full funding be detrimental to the program? Probably not, but the Act will once again serve fewer than could actually benefit if full funding occurs. The National Literacy Act was a well thought out item of legislation that on paper looks excellent. The major problem is that the Act in reality may never fully implement its objectives because of a lack of funding. Strom Thurmond's amendment alone serves notice that an act without full funding lacks strength. Even Start is discussed in an attempt to present a full funded program that is proving to be successful. How much funding would be sufficient to implement the National Literacy Act's objectives? This is a difficult question to evaluate because there is a lack of accurate data. Full funding of the National Institute of Literacy might be the first step in obtaining the information needed to project how much funding is truly needed for the Act to succeed. It is obvious that full funding is necessary to at least start the process of ending the illiteracy crisis in this country.

ALTERNATIVES

Certainly, the National Literacy Act of 1991 is a comprehensive attempt at solving the problem of illiteracy in this country. Aside from full funding, what alternatives can be initiated to improve the literacy situation? The first alternative was presented by Jane Amero, Chairman of the State Board of Education in Maine, during a public testimony on Tuesday, April 30, 1991. Amero stated: "Look at how close we are to public schools becoming true community centers. We should open our schools year round and encourage adults to be in school as often as possible to use resources. We must break down barriers of school being something that only happens between kindergarten and twelfth grade. We should look at which schools are actually community centers and encourage other schools to become community centers." Amero's views reflect that of many who feel that to improve adult education we must first break down the barriers that exist to the concept of school being an acceptable learning place.

A second alternative was presented by Hillary Clinton, wife of Presidential Candidate Bill Clinton, when during public testimony she spoke of Goal 5 in terms of readiness and how businesses must think more broadly in how they use workers. "[Clinton] asked that we take a step back and envision the system we must have in place to be successful in the global economy. Look especially at the transition from school to work and at the issue of lifelong learning. We need a systematic vision. She said the vast majority of students will not achieve a four-year baccalaureate and that our system focuses on preparing for such a degree. We need to be thinking in broader terms. The sum of the parts will not equal the whole if we are not more systematic."[27]

Hillary Clinton referred to the report, America's Choice: High Wages, Low Skills. "Part of the dilemma is that we were too successful in the first half of this century with our industrial model of schooling. Restructuring schools is the easy part; we have a greater challenge to recreate our economic system to make optimum use of workers once they are prepared for the new global marketplace. The business community needs to think more broadly about what they expect of schools, because we have been giving them what they ask for and what they consume."[28]

Governor Clinton observed that he believes every person in a job in America ought to be able to read at the 10th grade level and have at least a GED. Every high school graduate must have at least two years of employment training as well. The people of this country are doing the best they can, but they deserve a better overall system to enable achievement of these National Education Goals. The real intent of this Goal 5 is workplace readiness.

The Mid-Continent Regional Educational Laboratory has established some alternatives with response to Goal 5. First, in terms of addressing the literacy needs of people who are already adults, at the national and state levels we need a more focused effort to implement and support adult education programs. More cooperation among the various agencies that fund adult education programming could result in more "bang for the buck" and a more rational system for delivery of adult education services at the local level. However, the responsibility for serving the literacy needs of adults does not rest only at higher levels of government. Local education agencies must begin to reach out more to the business community not only for financial support but also for direct involvement in the educational process.[29]

The Mid-Continent Regional Educational Laboratory also suggests that the business community must become an active participant in the educational process. The business community must shift from being a consumer of the products of our educational system to being an active participant in the educational process. This means that business must not only attend more carefully to the basic and technical skill needs of workers through literacy programs, but must also become more actively involved in K-12 and postsecondary education.

This increased involvement of business will introduce students at an earlier age to the practical value of education as well as help schools continue to develop programs that are responsive to work preparation needs of students. Now more than ever, the concept of public-private partnerships to improve education must become the rule rather than the exception in our efforts to meet the needs of the coming decades.[30]

Finally, the Regional Laboratory suggests that the best long term strategy is to cut off the supply of illiterate adults. It is not enough to only suggest ways to remediate the basic skill deficits of people who are already adults. The more basic, and over the long run more effective, strategy is to essentially cut off the supply of basic-skill deficient adults at its source by providing more relevant academic and vocational school programs and more effective programs for students at risk of dropping out. In addition, one part of an overall strategy to reduce the number of people coming out of our educational system with poor basic skills is to involve parents in the education of their kids.[31]

RECOMMENDATIONS

The National Literacy Act of 1991 was established in an attempt to offer a comprehensive approach to solving the literacy problem in the United States. The Act was well conceived and was directly influenced by the National Education Goals. The key issue with regard to the Act is funding, specifically the amount of actual dollars needed. The first problem in estimating the actual cost is the lack of accurate data on the number of people who need to be served by the programs. Chisman points out the glaring discrepancy that exists in the figures between those actually served and those who could be served. Therefore, recommendations are:

1. To fully fund the National Institute for Literacy so that accurate data can be obtained and disseminated throughout the literacy centers of this country. Accurate data is the first step in attempting to fully realize the magnitude of the problem. The National Literacy Act was established and designed as a fully comprehensive program to meet National Educational Goal 5. This Act will be greatly disabled in what it can accomplish if proper funds are not appropriated.

2. To involve businesses to a greater extent at the local level in establishing programs or incentives for individuals to acquire or refine their skills. Business must be a leader in this effort if the United States is going to be able to compete in a global economy by the year 2000. This also could be viewed as a shortcoming of the National Literacy Act because little is mentioned in regard to the issue o business collaboration.

3. To study the possibility of establishing schools as community centers in order that adults may pursue lifelong learning in an environment that demonstrates academic pursuits.

4. To encourage linkages between agencies that deal with the problem of literacy. This is a major emphasis of the National Literacy Act, however, is adequate funding going towards this endeavor. Communication between agencies could prove very useful in terms of establishing new programs and ideas.

End Notes

1. United States Congress, National Literacy Act of 1991, Serial No.102, 102d Cong., 2d sess., 105 Stat. 334.

2. House of Representatives. Committee on Education and Labor, National Literacy Act of 1991, Serial No. 102, 102d Cong., 2d sess., H.R. Rept. 102-23, 2.

3. Ibid.

4. Ibid.

5. Forest P. Chisman, Leadership for Literacy (San Francisco, Jossey-Bass Publishing, 1990), 68.

6. Ibid.

7. Anabel Newman, Adult Literacy (International Reading Association, 1990), 199.

8. House of Representatives, Committee on Education and Labor, National Literacy Act of 1991.

9. Ibid., 2.

10. Ibid.

11. Ibid.

12. United States Congress, National Literacy Act of 1991, Serial No.102, 102 Cong., 2nd sess., 105 Stat. 334.

13. House of Representatives, National Literacy Act of 1991, 3.

14. United States Congress, National Literacy Act of 1991, 102d Cong., 2nd sess., 105 Stat. 342.

15. House of Representatives, National Literacy Act of 1991, 102d Cong., 2d sess., 4.

16. Ibid.

17. United States Congress, National Literacy Act of 1991, 102d Cong., 2d sess., 105 Stat. 358.

18. House of Representatives, National Literacy Act of 1991, 102d Cong., 2d sess., 5.

19. George Bush, speech presented 25 July 1991.

20. Congressional Quarterly, National Literacy Act of 1991, 49, No. 26 (19 June 1991): 1769.

21. United States Congress, National Literacy Act of 1991, Serial No.102, 102d Cong., 2d sess., 105 Stat. 334.

22. Ibid.

23. Mid-Continent Regional Educational Laboratory, National Education Goals: Can They Lead Schools To Reform, (Place of Publication: Publisher, 1990), 38.

24. House of Representatives, National Literacy Act of 1991.

25. Anabel Newman, Adult Literacy, 200.

26. Forest P. Chisman, Leadership for Literacy (San Francisco, Jossey-Bass Publishing, 1990), 158.

27. National Education Goals Panel. Measuring Progress Toward the National Education Goals: Public Testimony, Vol.4 (26 August 1991), 71.

28. Ibid.

29. Mid-Continent Regional Educational Laboratory, National Education Goals: Can They Lead Schools To Reform? (Aurora, CO: Mcrel, 1990) 38.

30. Ibid.

31. Ibid.

CHAPTER 6 - GOAL 6

-Aruna Viwadoss

ISSUE DEFINITION

The sixth National Education Goal states: "By the year 2000, every school in America will be free of drugs and violence, and will offer a disciplined environment conducive to learning." Issues surrounding this goal include the federal role, funding for programs related to this goal, and the effectiveness and ineffectiveness of the State and Local Grants Program. The Drug Free Schools and Communities (DFSC) Program receives the largest amount of federal aid of programs targeted to this goal. The focus of this section will be on one of the seven programs under the DFSC Program which is the State and Local Grants Program. This receives the largest funding under the DFSC Program. The inception of the Act that led to the program occurred in 1986; therefore, the funding situation is viewed from FY 1987 to FY 1991.

BACKGROUND AND ANALYSIS

The importance and relevance of Goal 6 cannot be understated. According to Deborah Wadsworth, it is "the one the public starts with."[1] The achievement of this goal ensures progress towards most of the other goals. Drug use is a "norm " rather than the exception among high school students,[2] but more shockingly, "a worrisome number of kids . . . whether sixth graders or eighth graders - are experimenting with drugs."[3] The drug problem is like an epidemic. While dealing with something as widespread and destructive as that, the focus is not merely on curing the afflicted but also on shielding the ones that have not yet been afflicted. From a report by the National Commission on Drug Free Schools [NCDFS], one finds that if alcohol is considered a drug, more than 90% of the high school graduates have used illegal drugs. When alcohol is excluded, the number drops to 44%. In the same report, we find that children as young as third graders have used alcohol and tobacco, and many more younger ones are exposed to illicit drugs by their peers, older siblings and parents. This being the case, one realizes the importance of anti-drug abuse programs to help the nation's citizens of tomorrow. The state and local programs are important because the real action takes place at the local and then the state levels, with regard to both the problem and the program. This program receives about 81% of the funds allocated to the DFSC Program.

Assistance is provided to states "to establish, operate, and improve local programs of drug abuse prevention, early intervention, rehabilitation referral, and education for school-age youth. . . [and] high-risk youth, and for development training, technical assistance and coordination activities."[4] Another aspect to this program is that from the very beginning, it has funded almost all the states.

Legislative History

The legislative history of the DFSC Act goes back to 1986, when it was established by the Anti-Drug Abuse Act of 1986, P.L.99-570, in Title IV, Subtitle B. The basic program was created by this DFSC Act which authorized appropriations of $200 million for FY 1987 and $250 million each for the forthcoming FY 1988 and 1989. The Hawkins Stafford Elementary and Secondary School Improvement Amendments of 1988, P.L.100-297, re-authorized the program as a new Title V of the Elementary and Secondary Education Act, authorizing appropriations of $250 million for FY 1989, and such sums as necessary in the succeeding years.

The Anti-Drug Abuse Act of 1988, P.L.100-690, amended the authority further, authorizing separate appropriations for grants for teacher training, a requirement for evaluation of education programs on drug abuse and prevention, and a set-aside of funds for the development and dissemination of materials for early childhood education. The 1988 Act also established a National Commission on Drug-Free Schools to advise the President and the Congress.

The DFSC Act Amendments of 1989, P.L.101-226, provided "that the Governor's share is capped at $125 million in FY 1990, and at $100 million thereafter. In FY 1990, $25 million [was] allotted to the Governors for distribution through State Educational Agencies (SEAs) to Local Educational Agencies (LEAs) for Emergency Grants".[5] The "Governor's share" is explained under the State and Local Grants Program. Under the program in FY 1989, it also provided for the allocation of funds in excess of those available, under a new formula designed to direct more of the monies to the disadvantaged areas. The Emergency Grants permitted LEAs to use their funds under the Act for model alternative schools for students with drug problems and provided for use of funds to provide drug abuse education programs for juveniles in detention facilities.

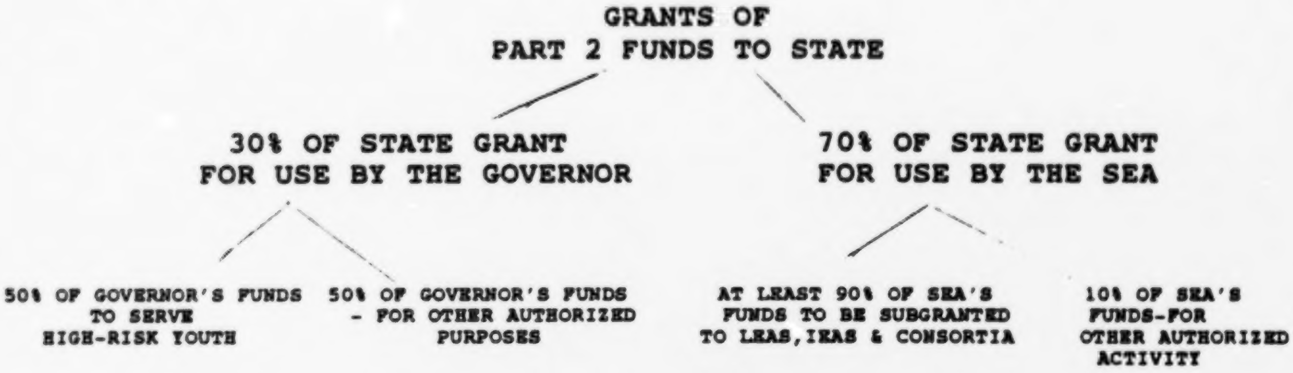
The Crime Control Act of 1990, P.L.101-647, amended DFSCA, included the reservation of certain State Grant Funds for drug abuse resistance education programs; aid for replication of successful drug-education programs; authority for LEAs to use DFSCA funds for school-based recreational activities as an alternative to drug abuse programs; and increased authority for grants to teachers, counselors and other school personnel.

State and Local Grants Program

Funds are allocated to states and territories on the basis of school-age population. Thirty percent of each state grant is reserved for local programs to be administered from the Governor's Office. The remaining 70% is to be administered by the SEA, which is expected to redistribute at least 90% of its share to LEAs.[6] (Figure 6.1.) Each state's Chief School Officer is the primary d distributor of the funds within the state. The program commenced in

Figure 6.1

U. S. SECRETARY OF EDUCATION



GRANTS OF
PART 2 FUNDS TO STATE

30% OF STATE GRANT
FOR USE BY THE GOVERNOR

70% OF STATE GRANT
FOR USE BY THE SEA

50% OF GOVERNOR'S FUNDS
TO SERVE
HIGH-RISK YOUTH

50% OF GOVERNOR'S FUNDS
- FOR OTHER AUTHORIZED
PURPOSES

AT LEAST 90% OF SEA'S
FUNDS TO BE SUBGRANTED
TO LEAS, IEAS & CONSORTIA

10% OF SEA'S
FUNDS-FOR
OTHER AUTHORIZED
ACTIVITY

(SOURCE: Report on Hearing before SCNAC; Drug Abuse Prevention in America's Schools, May, 1988)

TABLE 6. 1**

U.S. DOLLAR AMOUNT ROUNDED OFF AND IN MILLIONS, UNLESS OTHERWISE INDICATED

FISCAL YEAR	APPROPRIATION TO U.S. DEPT. OF EDUCATION [TOTAL; BILLION]	APPROPRIATION FOR DFSC* PROGRAM	ALLOCATION TO STATE AND LOCAL GRANTS PROGRAM (- AMOUNT FOR TUITION)
1985	19.1	-	
1986	18.0	-	
1987	19.7	200	161
1988	20.3	230	189
1989	22.7	355	288
1990	24.1	540	437 (+25)•
1991	27.4	606	491 (+25)•

* - 81% of which goes to State and Local Grants.

• - Additional $25 million of Emergency Grants.

** - has been put together using the U.S.budget, some literature and calculation. Source: Budget of the United States of America, 1990, CRS report 1990.

FY 1987 with an appropriation of $200 million; in FY 1991, the appropriation was $607 million. Table 6.1 gives an idea of the total amount of funds allotted for the State and Local Grants component (excluding the territories) of the federal allocation to the state, for years 1985-91.

Goal Realization

The National Goal on drug free schools clearly states the objectives that need to be realized in order to achieve the goal. These objectives are:

(1) Every school is to implement a firm and fair policy on use, possession, and distribution of drugs and alcohol.

(2) Parents, businesses and community organizations are to work together to ensure that schools are drug free.

(3) Every school district is to develop a comprehensive K-12 drug and alcohol prevention education program.

Federal Role and Program Effectiveness

To summarize the federal role in these years, it is important to understand that the nature of the role became broader and deeper as needs increased and became more varied through the years. The Department of Education urged the Congress to pass a major piece of legislation in 1989, "requiring schools and universities to develop and implement comprehensive drug prevention programs and policies as a condition of eligibility to receive federal funds."[7] This law was supposed to give all educational institutions a powerful incentive to take anti-drug action. The Department of Education (DOE) is responsible for administering Title V of Elementary and Secondary School Education Act, as amended by the Anti-Drug Abuse Act of 1988, and its amendments. Programs other than the State and Local Program under the DFSC Act,--Audio-visual Grants Program, Grants for Institutions of Higher Education, Programs for Indian Youth, Programs for Native Hawaiians, Regional Centers Program, School Personnel Training Program and Federal Activities Program--were encouraged to assist the major component, State and Local Grants Program. To assist school districts facing a concentration of drug problems Emergency Grants became part of the DFSCA State Grants Authority in 1990 and a federal discretionary program in 1991. SEAs are asked to submit their drug prevention program certifications to the Department, and LEAs are required to provide age-appropriate alcohol and drug prevention programs that make clear to students that use of illicit drugs and unlawful possession and use of alcohol are wrong and harmful; the SEAs and LEAs are expected to provide information to students, parents, and staff about the availability of counseling, treatment and rehabilitation programs.[8] A biennial review of programs by SEAs and LEAs, and a state review of a representative sample of local policies and programs are required by the federal agency [DOE] to enable proper implementation of statutes leading to goal achievement.

Other projects in DFSC--such as the Federal Activities program for instance--helps the SEAs and LEAs in model program development, dissemination, technical assistance and curriculum development activities for drug and alcohol abuse education and prevention. By 1990, over 102 awards were made to SEAs, LEAs, IHEs (Institutions of Higher Education), other non-profit agencies, organizations and institutions. The newsletter Challenge, issued by the Department highlights successful programs, provides the latest research on effective prevention measures, answers questions about school-based efforts, and is distributed to superintendents, principals, and parent groups across the nation. Free copies of Schools Without Drugs (since 1986) are available to provide assistance to schools and communities in developing a comprehensive program to prevent the use of drugs and alcohol. Growing Up Drug Free: A Parent's Guide to Prevention (since 1990) is a handbook for parents; it is to help families take an active role in drug prevention before they have a problem.

A major incentive to schools is the "Drug Free Schools Recognition Program" (since 1988), in which, after expert decision and review, highly rated schools are selected for recognition and honored at ceremonies in Washington, D.C. One hundred and twenty-eight schools have been recognized since the program started operating. The department's Office of Educational Research and Information [OERI] developed, produced and disseminated a guide to help schools and school district staff select and implement substance abuse curricula in elementary and secondary schools. To combat the very high rates of alcohol abuse, "Innovative Alcohol Abuse Education," authorized in 1988,[9] supports programs of alcohol abuse education that particularly benefit students in Grades 5 through 8. In 1990, an evaluation handbook for school and community based programs was being developed along with "model reporting forms" (these forms would help collect standard data on the activities and participation in state and local programs). Apart from this, projects like the Regional Centers Program and the School Personnel Program, are designed to help SEAs and LEAs along with IHEs and other organizations.

Despite these activities that show federal involvement in state and local programs to make schools and communities drug free, many deficiencies can be perceived. According to a recent survey[10] of teachers across the nation in November 1991, 23% of the teachers indicated that student alcohol use was "serious" or "moderate" in their schools, while 17% felt that student drug use was "serious" or "moderate" in their schools. Six percent of them reported "serious"or "moderate" sale of drugs on school grounds, while 24% reported serious/moderate tobacco use. About 1% reported that their school had no alcohol, drug or tobacco prevention programs or policies. The percentage of teachers who reported that their school's alcohol/drug/tobacco prevention programs were not very or not at all effective are as follows: alcohol use--14%, drug use--12%, tobacco use--19%. 14% of the teachers said that their programs and policies related to alcohol and tobacco were highly effective; 16% felt that their drug programs were highly effective.

Grants are allocated to SEAs and LEAs based on school-age population. Many districts and LEAs and some states complain that allocation should also be based on need--the amount of drug use and number of children who are at greater risk of drug abuse. Many LEAs complain that the state does not allocate the necessary funds on time (sometimes it has taken as long as a year), and that they need to be funded directly by the federal agency. Despite the federal requirement of accountability, there is hardly any idea as to how much, in all, trickles down to LEAs from the SEAs. There is also the problem of evaluation by LEAs and SEAs of their own programs, because they would probably need more funding to set up an evaluation instrument and team and would need time to collect data. Hence it is problematic to base subsequent funding on "demonstrated results," according to these agencies. It is also clear that many schools lack strict enforcement policies to go with their drug education programs. Some districts that are less needy and serve fewer students show a higher dollar amount per student.

Many programs do not focus on "gateway drugs" i.e., drugs that lead to other serious drugs--tobacco and alcohol. The use of these two is very high. The report of the National Commission on Drug Free Schools, refers to recent national surveys, indicates that by the sixth grade, about 19% of the students reported having smoked cigarettes, while 9% reported having drunk alcoholic beverages. Seventy-seven percent of the eighth graders reported having used alcohol, and while 51% reported having tried cigarettes, 16% smoked them regularly. Ninety percent of the tenth graders and 91% of the seniors reported having used alcohol, while 63% of the tenth graders and a high proportion of the seniors smoked cigarettes.[11]

Certain programs are funded based on one or two good aspects and not based on whether they are comprehensive. Due to the problem of evaluation, ineffective programs get funded, while effective ones that could be replicated and expanded stay under-funded.[12] Evaluation and dissemination of its results on the types of successful programs, including those that deal with alcohol and tobacco, are very few. According to the National Commission on Drug Free Schools, despite increases in federal funding for drug education, "many schools still lack resources to implement state-of-the-art drug education prevention programs".[13] Though states and local governments are more directly involved in the issue, their funding towards the program is nil or minimal, in many states. Another finding by the Commission suggests that some very effective activities require minimal resources. Despite a general agreement that every community needs more money for drug education and prevention, there is no consensus on how much is needed or what percentage each level of the government should provide.

The 30% DFSC monies of the governors are administered by different state agencies in different states (e.g., Department of Justice in Montana, Alcohol and Drug Abuse Agency in Georgia, Department of Education--Governor's Advisory Group in Virginia). This could account for discrepancies in funding programs of differing importance to these agencies. The NCDFS report finds that "the true picture of drug use by high school students is skewed... by the number of young people who drop-out or are pushed out of school during their high school years".[14] In the report's reference to Dr. Edgar Adams' (NIDA) words, one sees that people who are 18-21 and have had less than twelve years of education [drop-outs], use drugs at a higher rate (67% higher) than the general population. Many student drug use surveys do not include "dropouts," the group that has the most to gain from effective programs and supportive services.

Many school policies do not apply beyond the school day or building. Some of the policies ignore the possession or use of tobacco. Also policies that are not reinforced by parents and the community do not help in program effectiveness. The NCDFS report shows that alternative programs which provide opportunities for recognition and non-drug leisure activities are effective in changing drug use behaviors of average school populations; and those that provide special remedial tutoring, one-on-one relationships, job skills, and physical adventure demonstrate a definite positive effect on the drug use behaviors of high-risk populations.[15]

Drug education and prevention programs tend to be ineffective because of the following reasons: they begin too late, long after drug use has started; are often slick, gimmicky, one-shot efforts that focus only on information about drugs; are sterile and boring; are not properly implemented; are not based on sound research and evaluation;are too narrow and do not relate to other moral civic and health issues; are not reinforced by policies; are not supplemented by other programs and activities; and are not sufficiently funded.[16]

Often, schools consider all students at equal risk of drug use and either ignore or provide inadequate programs to students at highest risk of drug use. Schools fail to recognize the power and importance of peer-influence programs. Many community organizations, (the PTA, for instance), are demoted to the role of fundraisers by the school management; this makes the former less involved in drug prevention than they could be.[17] Where there is less community involvement there is a greater difficulty in achieving the Goal.

According to Robert York, Acting Director for program evaluation in Human Services Areas,[18] in his team's evaluation of programs, found six features that were present in programs with the greatest youth enthusiasm and attachment to the programs. They were as follows: a comprehensive strategy, an indirect approach to drug abuse, e.g., no reference to drug abuse in the program names; empowerment of the view of youth; participatory activities; a culturally sensitive approach, and highly structured activities. He also found that while some programs expressed an interest in evaluation, they were reluctant to divert scarce program resources. There were present programs that collected data but which did not or had not analyzed them. Hence no outcome evaluation is possible, especially when coupled with lack of data from a comparison group. Programs also faced implementation problems such as maintaining continuity with the participants, coordinating and integrating the service components, providing accessible services, obtaining funds, attracting necessary leadership and staff, and conducting evaluation.

RECOMMENDATIONS

(1) Allocation to states could be based on not just school-age population, but also on need.

Since the needs of different states are different, it should be mandated that each state set up a Need-Assessment Committee and come up with research on the "how prevalent" and "why" aspects of the drug problem among students in the different school districts of each state. For example, in a place where drug use is due to drug-trafficking, the need is different from the dstrict where drug abuse is due to boredom. In the former case, the recommendation is to offer stronger prevention programs and strengthen the Justice and Crime Department; in the latter case, the recommendation is to create recreational facilities as part of the drug program.

(2) To counter the problem of excessive delay of funds in reaching LEAs, creation of district offices that deal just with the distribution of funds to LEAs is an option. The problem here would be further distribution of funds among these offices based on need and population.

Another option would be to create an office/department at the state level to monitor and allocate funds based on the two criteria, i.e., needs and school age population. This office would also be responsible for doing evaluative studies and developing evaluation instruments for LEAs. As 50% of the Governor's 30% funds are to be used for high-risk youth, these funds can be directly given to the "new" office, along with the 70% that was earlier given to the state, so that there is more efficiency in fund allocation. It could also be mandated that this office should respond to the request of an LEA, one way or another, in no later than a month.

(3) The LEAs, before applying for funds, need to have a clearly defined need-based program, giving details of the number of people and the kinds of school population it would serve, a clear set of goals the program aims to accomplish--and send this information to the funding source. The new office in charge could give them guidelines as to exactly what kind of information is needed. A feedback loop about the progress/stagnation of the programs from LEA's should be made a must so as to enable successive funding. LEAs should be given guidelines also as to how to go about collecting data on student drug use.

(4) Criteria for School Recognition Programs should also include a "cost-effective" clause in the program effectiveness assessment. That would help reduce too much importance being placed by the LEAs just on funding. According to the NCDFS report, there are many effective programs which involve very low costs. Others, sometimes not as effective, seem to be cost-intensive.

(5) An effective way to assess the use of federal drug education funds by the receiving agencies has to be determined. This could be done at the new office created at the state level. This office would keep track of all records on the funds, their targets, the population served, the kind of need served and so on for individual schools and institutions that receive funding. This information would already be available to them from the preliminary information supplied by the LEAs while seeking funding.

(6) Programs requesting federal funding should assure that they coordinate with community resources and organizations--including treatment agencies, local police and other prevention programs. This can be done along with the SEA/LEA report on program and goals that are submitted as mentioned in point number 3 above.

(7) One of the recommendations of the NCDFS report is that funds should be appropriated only for programs that have likelihood of success. For this to be possible, funding could be based on the feedback/evaluations of the various programs, as mentioned earlier. Funding to such programs should be offered, provided that the program is willing to better its methodology by either creating new programs or adapting "model programs" to suit particular needs.

(8) Just as an increase in the beer tax resulted in quite a decent appropriation to the State Division of Alcoholism and Drugs in Utah, other ways of increasing revenue should be

considered to contribute more to under funded areas in drug abuse prevention and education. Lawbreakers like drug dealers/traffickers or other related violators should pay for the societal damage they have caused by also being fined. In New Jersey, more than $9 million was raised annually for drug prevention education and treatment, by fining drug violators. Other funds that could be used for drug programs are asset forfeiture funds, especially those issuing out of drug violators; a high fee on drunken or otherwise intoxicated driving, and so on. States should be required to fund part of the state and local drug education and prevention efforts, an amount that matches a percentage of the federal funds received.

(9) Communities that cannot contribute financial assistance can contribute services. For instance, they could consider helping keep school buildings open "after-school hours and year-round" as community centers.

(10) Community organizations and state agencies should encourage creative ways to generate funds for program improvement, so as to be less dependent on federal resources. For instance, the Bank of Boston contributed a penny from each Mastercard transaction to the Massachusetts Governor's Alliance Against Drugs for alcohol and drug education in the schools. It contributed $135 million within a three month period.[19]

(11) The Drug Free School Zones Legislation should expand legislation to cover all drugs, including alcohol and tobacco. This is important because these are the gateway drugs. Cigarette vending machines should also be banned. The Department of Education should monitor closely the development and enforcement of school and college anti-drug policies, by constant effective communication, assessment and feedback from the State and Local Agencies, because DOE is the major funding source.

(12) States should open up centers similar to the Federal Regional Centers, because there are very few Federal Regional Centers across the nation.

(13) No funding for drug prevention education programs should be received from alcohol/cigarette dealing agencies or producing industries. Also, alcohol and tobacco advertising at public functions, especially where students abound, should be prohibited.

(14) Community involvement should be fostered by establishing a drug prevention task force (to analyze the extent of alcohol and other drug problems within the community and develop strategies to address problems), by working with local police departments and linking them to schools and colleges to

develop and enforce policies, by helping change local ordinances on the sale of tobacco, and by arranging for the private sector to share training, technical expertise and resources with schools and colleges.

NOTES

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